

# **Appendices**

## APPENDIX A

### DEFINITION AND CRITERIA FOR HISTORIC RESOURCES IN THE CITY OF ROCKVILLE

#### DEFINITION

Historic Resource: Includes architectural, historic, cultural, archeological, and landscape resources significant to Rockville's development. Intangible resources such as folklore and oral histories are important, but for this purpose are to be considered supportive resources. Physical resources must retain their integrity, as defined by the Federal Register, September 29, 1983, Department of Interior "Archeology and Historic Preservation; Secretary of the Interior's Standards and Guidelines."

Integrity- the authenticity of a property's historic identity, evidenced by the survival of physical characteristics that existed during the property's historic or prehistoric period.

#### CRITERIA

##### Historic Significance

- (a) Represents the development, heritage, or cultural characteristics of the City; or
- (b) Is the site of an important event in Rockville's history; or
- (c) Is identified with a person or group of persons who influenced the City's history; or
- (d) Exemplified the cultural, economic, industrial, social, political, archeological, or historical heritage of the City.

##### Architectural, Design, and Landscape Significance

- (a) Embodies distinctive characteristics of a type, period, or method of construction; or
- (b) Represents the work of a master architect, craftsman, or builder; or
- (c) Possesses a style or elements distinctive to the region or City; or
- (d) Represents a significant architectural, design, or landscape entity in the City; or
- (e) Represents an established visual feature of the neighborhood or City because of its physical characteristics or landscape components.

## APPENDIX B

### DEFINITIONS

#### Comprehensive Historic Preservation Planning

The organization into a logical sequence of preservation information pertaining to identification, evaluation, registration and treatment of historic properties, and the setting of priorities for accomplishing preservation activities.

#### Cultural Resources

These include architectural, historical, archeological, and landscape resources such as folklore, oral histories, neighborhood environments, and living cultures.

#### Historic Context/ Study Unit

A unit created for planning purposes that groups information about historic properties based on a shared theme, specific time period, and geographical area.

#### Historic Property/ Resource

A district, site, building structure, or object significant in American history, architecture, engineering, archeology, or culture at the national, state, or local level.

##### o A District

A geographically definable area, urban or rural, possessing a significant concentration, linkage, or continuity of sites, buildings, structures, or objects united by past events or aesthetically by plan or physical development. A district may also comprise individual elements separated geographically, but linked by association or history.

##### o A Site

The location of a significant event, a prehistoric or historic occupation or activity, or a building or structure, whether standing, ruined, or vanished, where the location itself maintains a historical or archeological value regardless of the value of any existing structures.

o A Building

A structure created to shelter any form of human activity, such as a house, barn, church, hotel, or similar structure. Buildings may refer to a historically related complex, such as a courthouse and jail or a house and barn.

o A Structure

A work made up of interdependent and interrelated parts in a definite pattern or organization. Constructed by man, it is often an engineering project large in scale.

o An Object

A material thing of functional, aesthetic cultural, historical, or scientific value that may be, by nature or design, movable yet related to a specific setting or environment.

(From: Guidelines for Local Survey, November 1977, p.6.)

Historic Period

The period of history for which documentation is available in a written form.

Integrity

The authenticity of a property's historic identity, evidenced by the survival of physical characteristics that existed during the property's historic or prehistoric period.

Intensive Survey

A systematic detailed examination of an area designed to gather information about historic properties sufficient to evaluate them against predetermined criteria of significance within specific historic contexts.

In Kind Replacement

Replacement of damaged or ruined part with exact same material and design.

Inventory

A list of historic properties determined to meet specified criteria of significance.

Multiple Resources

A multiple resource includes all or a portion of the historic resources identified in a specific rural area, county, town, or section of a town or city. It should, if possible, be based upon the results of a comprehensive interdisciplinary survey undertaken to identify all of the resources of historic, architectural, and archeological significance within a defined geographical area.

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National Register Criteria

The established criteria for evaluating the eligibility of properties for inclusion in the National Register of Historic places.

Ordinary Maintenance

Repaint, repair, with no change in design or materials.

Prehistoric Period

The period of history prior to written documentation, e.g., the American Indians prior to contact and settlement by Europeans.

Preservation  
(treatment)

The act or process of applying measures to sustain the existing form, integrity, and material of a building or structure, and the existing form and vegetative cover of a site. It may include initial stabilization work, where necessary, as well as ongoing maintenance of the historic building materials.

Property Type

A grouping of individual properties based on a set of shared physical or associative characteristics.

Protection  
(treatment)

The act or process of applying measures designed to affect the physical condition of a property by defending or guarding it from deterioration, loss or attack, or to cover or shield the property from danger or injury. In the case of buildings and structures, such

treatment is generally of a temporary nature and anticipates future historic preservation treatment. In the case of archeological sites, the protective measure may be temporary or permanent.

Reconstruction  
(treatment)

The act or process of reproducing by new construction the exact form and detail of a vanished building, structure, or object, or any part thereof, as it appeared at a specific period of time.

Rehabilitative  
(treatment)

The act or process of returning a property to a state of utility through repair or alteration which makes possible an efficient contemporary use while preserving those portions or features of the property which are significant to its historical, architectural, and cultural values.

Restoration

The act or process of accurately recovering the form and details of a property and its setting as it appeared at a particular period of time by means of the removal of later work or by the replacement of missing earlier work.

Stabilization  
(treatment)

The act or process of applying measures designed to reestablish a weather resistant enclosure and the structural stability of an unsafe or deteriorated property while maintaining the essential form as it exists at present.

Thematic Group

Includes a finite group of resources related to one another in a clearly distinguishable way. The resources may be of one building type or use, designed by a single architect, of a given archeological period, or related to a single historic event.

## APPENDIX C

### RULES OF PROCEDURE

#### OF THE

#### HISTORIC DISTRICT COMMISSION OF ROCKVILLE, MARYLAND

##### Part I General Rules of Interpretation

- 1.1 These rules are issued to assist the Historic District Commission of Rockville, Maryland, its staff, other city agencies and its citizens in the orderly and efficient conduct of all matters with which the Commission is concerned.
- 1.2 The Historic District Commission of Rockville seeks to foster and safeguard the heritage of the community by preserving the districts and landmarks therein which reflect elements of its cultural, social, economic, political or architectural history; to stabilize and improve property values in such districts; to foster civic beauty; to strengthen the local economy; and to promote the use and preservation of historic districts for the education, welfare and pleasure of the residents of the community and these rules shall be interpreted in order to achieve such objectives.
- 1.3 All actions of the Commission shall be governed by Article 66B of the Maryland Code, Chapters 6 and 15 of the Laws of Rockville, these rules and in the absences of any of the foregoing, Roberts Rules of Order (Revised).
- 1.4 The following terms used herein shall have the stated meanings:
  - (a.) "Mayor and Council" shall mean the Mayor and Council of the City of Rockville, Maryland;
  - (b.) "Commission" shall mean the Historic District Commission of the City of Rockville;
  - (c.) "Commissioner" shall mean a member of the Historic District Commission of the City of Rockville;
  - (d.) "City Clerk" shall mean the Clerk of the City of Rockville;
  - (e.) "Ordinary maintenance" shall mean painting; repair or replacement of roofing, gutters, downspouts, siding, trim, etc. which does not alter the basic structure or materials of the house; addition of bushes, shrubs, flowers, and rocks. The removal of mature shrubs and live trees and the addition of trees shall require a Certificate of Approval.

##### Part II General Rules of Procedure

- 2.1 (a.) All meetings of the Commission shall be public meetings and shall be governed by applicable rules relating to public hearings.

Rules of Procedure of the Historic District Commission of Rockville, Md.  
Part II General Rules of Procedure (continued)

- 2.1 (b.) Regular meetings of the Commission shall be held on the third Tuesday of each month at 8:00 P.M. at Rockville City Hall. No agenda items shall be initiated after 11:00 P.M. without the unanimous consent of the Commissioners present.
- (c.) Special meetings may be called by the Chairman on four days written notice to each Commissioner and shall be called by the Chairman upon the written request of two members of the Commission. Emergency meetings may be called at the pleasure of the Chairman.
- (d.) Each regular or special meeting shall be advertised once in a newspaper of general circulation in Montgomery County, Maryland, or once in the Rockville City Newsletter, or posting the agenda at City Hall. Such advertisement and posting shall take place at least four days prior to the date of the proposed meeting.
- (e.) A copy of the agenda shall be mailed to each applicant for Certificate of Approval, to abutting property owners and to those directly across the street.
- (f.) A quorum shall consist of three members of the Commission, except that a lesser number may postpone a meeting to a specific date and time which need not be advertised.
- 2.2 The officers of the Commission shall consist of a Chairman, appointed by the Mayor and Council, who shall preside at all meetings, a Chairman Pro Tempore elected by the Commission, who shall preside in the absence of the Chairman and whose term shall expire at the first meeting in every year and a Secretary, designated by the Commission from time to time who need not be a member of the Commission.
- 2.3 The Duties of the Chairman shall be as follows:
- (a.) Preside at all meetings of the Commission;
- (b.) Decide on all points of order and procedure subject to these rules, unless overruled by a majority of Commissioners present;
- (c.) Participate in discussions and vote on motions;
- (e.) Have the right to designate Commissioners to write opinions;
- (f.) Prepare an Annual Report of the work of the Commission for each calendar year ending at appointment of new Chairman. This shall be submitted within one (1) calendar month after the end of such period for approval and adoption by the Commission, after which the report shall be submitted to the Mayor and Council.



Rules of Procedure of the Historic District Commission of Rockville, Md.  
Part II General Rules of Procedure (continued)

- 2.3 (g.) Have the authority to cancel or postpone a meeting for good cause.
- 2.4 It shall be the duty of each Commissioner to attend all meetings. Should any Commissioner be absent, without good cause, more than three times in any calendar year, the Commission may recommend to the Mayor and Council that such Commissioner's resignation be requested.
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- 2.5 The order of business shall be in accord with the agenda prepared by the Chairman or under his direction and shall be delivered to each Commissioner at least four days in advance of each meeting. Members of the Commission who wish to add to the agenda shall notify the Chairman prior to or as a first order of business at each meeting.
- 2.6 Questions put to a vote shall be decided by a majority of the members present and voting, assuming a quorum is present. No decision shall be made in the absence of a quorum. Proxy voting shall not be allowed. Commissioners' votes shall be recorded on each motion.
- 2.7 A tie vote by the Commission shall be interpreted as a defeat of the motion upon which the vote was taken.
- 2.8 In the event an application is transmitted for review which, from a Commission member's evaluation presents a conflict of interest situation, the complete application shall be returned to the staff member who transmitted such application with the advice that the Commission member is abstaining from the review because of a conflict of interest or the appearance of a possible conflict of interest.
- Any member of the Commission who has such an interest with respect to any application to be considered by the Commission shall absent himself or herself from the meeting during the discussion, review, and analysis of such application. The foregoing is applicable to any Commission member who directly or indirectly represents, or whose spouse, parents, children, or business associates, directly or indirectly, represent any organization on any matter that would financially or personally benefit such Commission member or any organization such member represents.
- 2.9 Any person is entitled to appear and be heard by the Commission before it reaches a decision on any matter. The voting on such decisions shall be held during public meeting and the Commission shall keep an open record of its resolutions, proceedings and actions which shall be available for public inspection during business hours at the office of the City Clerk.

Rules of Procedure of the Historic District Commission of Rockville, Md.  
Part II General Rules of Procedure (continued)

- 2.10 It shall be the duty of the secretary, assisted by the Commission's staff, to keep a true and accurate record of all proceedings at all meetings and public hearing. A resume of the minutes shall be typed, distributed to the individual members, and when approved by the Commission, maintained by the Secretary. All files shall be available at each meeting of the Commission.
- 2.11 The disposition of all formal petitions and requests before the Commission requiring further action by the Mayor and Council shall be in writing to the Mayor and Council. The petitioner shall be notified by letter of action taken by the Commission.
- 2.12 A member will not appear to speak for the Commission except as authorized by the Commission. In any public or private statement concerning Commission affairs, members will carefully indicate whether they are speaking for the Commission or for themselves.
- 2.13 Members shall not engage in any business transaction in regard to which they have an advantage because of information gained through membership on the Commission.
- 2.14 Members shall conduct themselves at Commission meetings in a fair, understanding and gracious manner. They shall seek to be considerate of all individuals, attitudes and differences of opinion involved in official Commission business.
- 2.15 The Chairman may transfer to a member of the Commission the chair in order to take part in a debate before the Commission. In such case, the Chairman shall nominate a Chairman Pro Tempore subject to the confirmation of the majority of the members present. Thereafter the Chairman may enter into debate, formulate motions and otherwise assume the role as a Commission member for the duration of the debate on the subject at hand. The Chairman may not reassume its position until after the pending case is disposed of.

Part III Application for Permission to Build, Alter, Etc.

- 3.1 Applications shall be governed by the provisions of Article 66B of the Annotated Code of Maryland.
- 3.2 Applications for Certificate of Approval shall be filed in the Planning Department of the City of Rockville at least ten (10) working days prior to the regularly scheduled meeting of the Commission.
- 3.3 An application shall not be dated until it is complete and officially accepted, the 45-day review period begins. Applications determined incomplete shall be returned to the applicant as soon as possible, with a detailed list of all needed information.

Rules of Procedure of the Historic District Commission of Rockville, Md.  
Part III Application for Permission to Build, Alter, Etc. (continued)

- 3.4 Applications shall be accompanied by photographs, drawings and all applicable information requested on the forms prescribed by the Commission.
- 3.5 The applicant may appear in his/her own behalf or be represented by an agent or attorney at said meeting. In the absence of any personal appearance on behalf of the applicant, the Commission will proceed to dispose of the matter on the record before it, or may table or defer the item and reschedule it at the Commission's discretion.
- 3.6 The order of consideration of each application shall be as follows:
- o INTRODUCTION OF CASE BY THE STAFF
  - o THE APPLICANT OR HIS/HER AGENT
  - o QUESTIONS BY STAFF AND MEMBERS OF THE COMMISSION
  - o PUBLIC COMMENT
  - o APPLICANT'S REBUTTAL
  - o RECOMMENDATION OF STAFF
  - o CONSIDERATION BY COMMISSION
- 3.7 Within the 45 day period prescribed by law, the Commission may postpone or continue any case due to a need for additional information from the applicant, lack of a quorum, or for further study.
- 3.8 Approval or disapproval of any application shall be made upon motion, which motion shall state the reasons for approval or disapproval.
- 3.9 Approval by the Commission of any application shall not obviate the necessity of obtaining building or other permits from appropriate City departments, nor shall it affect any requirement of compliance with all applicable Maryland, Montgomery County or City of Rockville zoning, building, electrical, plumbing or other codes or procedures.
- 3.10 The applicant or his/her agent may appear before the Commission for advice prior to formal submission of the application.

Part IV Proceedings on Grant Applications

(Reserved)

Rules of Procedure of the Historic District Commission of Rockville, Md.

Part V Procedures Affecting Property Included or Eligible to be Included in the National Register of Historic Places.

- 5.1 Procedural rules regarding Federally funded, Federally assisted or Federally licensed activities that impact properties on or eligible to be on the National Register of Historic Places are found in 36 CFR, Part 800 entitled "Procedures for Protection of Historic and Cultural Properties" and Executive Order 1159B, "Protection and Enhancement of the Cultural Environment."
- 5.2 Prior to nomination of any property for the National Register, the Commission shall place such nomination on its agenda for discussion and action and a copy of the agenda shall be sent to each property owner whose property is proposed for the National Register.

Part VI Appeals

- 6.1 Any person aggrieved by any decision of the Commission may appeal the same to the Circuit Court for Montgomery County. Such appeal shall be taken according to the Maryland Rules as set forth in Chapter 1100, Subtitle B.

Part VII Miscellaneous

- 7.1 These rules may be amended by a majority of the entire Commission at any meeting of the Commission after the amendment in written form has been introduced at a prior meeting.
- 7.2 The Commission shall act promptly on all matters referred to it by the Mayor and Council in accordance with Article 66B, Sections 8.01 through 8.15 of the Annotated Code of Maryland.

Part VIII

- 8.1 These rules shall become effective upon adoption by the Commission.

Adopted January 18, 1977

Revised and Adopted April 15, 1986

## APPENDIX D

### ROCKVILLE HISTORIC DISTRICT COMMISSION

#### PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

##### Technical Brief #1

##### Synthetic/Artificial Siding

Synthetic or artificial siding (metal, vinyl, plastic) often is considered in order to eliminate exterior painting. It is available in a variety of colors, textures, and widths. Although sometimes seen in historic districts, if not applied properly, it may cause permanent damage to the structure it is intended to protect. The use of this material also may result in lower property values, costly and irreversible changes in the character of the property, and is almost always inferior in appearance to painted wood.

I. HDC Policy: Synthetic or artificial siding is discouraged for use on historic properties. The application of such material would result in the property owner's ineligibility for local tax credits and the 25% Investment Tax Credit on federal taxes.

II. If, as a last resort, synthetic/artificial siding is requested, then the following must be adhered to:

- (a) Match the width and lap of the original siding.
- (b) Keep shadow lines of the structure either by complete removal of old siding or removal of window, door and trim pieces, shimming out, and replacement after siding is installed.
- (c) Retain the trim, cornerboards, details, window and door openings, and distinctive elements of the structure.
- (d) Insure that precautions are taken to protect the original siding and structure from rot and structural damage caused by migrating interior water vapor becoming trapped between the old and new sidings.

III. Property Owner Should Submit:

- (1) Width, lap, color, texture, type of material, method of application, justification for use, and contractor should be provided.

IV. Additional information:

Preservation Briefs: #8 Aluminum Vinyl Sidings on Historic Buildings. by John H. Myers. 8 pages, 11 illustrations, October 1979. Copies available in the Rockville Planning Department and from the National Park Service.

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts. Adopted September 1977, Rockville Historic District Commission, pp. 44, 70-71, and Appendix 4.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.16-18. Copies available in the Rockville Planning Department and National Park Service.

ROCKVILLE HISTORIC DISTRICT COMMISSION

PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #2

Roofing

The maintenance of roofs of historic properties can be costly and require frequent inspections. However, there is no substitute for the durability and appearance of slate and patterned or seamed tin. These materials should be valued by the property owner as an asset that contributes to property value.

I. HDC Policy: Every effort should be made to preserve the original roofing with replacement or repairs in-kind.

II. If the property owner requests a change in roofing, these conditions should be followed:

- (a) Replacement material should be of a texture and color similar to the original roofing.
- (b) Galvanized or other non-reflective flashing should be used.
- (c) Gutters and downspouts should be placed and painted so as not to obscure or disrupt cornice and eave lines or introduce distracting or competing vertical lines.

III. Property Owner Should Submit:

- (1) Justification for the request to replace roofing.
- (2) Contractor bids for replacement in-kind and the substitute.

IV. Additional information:

Preservation Briefs: #4 Roofing for Historic Buildings, by Sarah M. Sweetser. 8 pages, 15 illustrations, February 1978. Copies available in the Rockville Planning Department and the National Park Service.

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission, pp. 69, and 72-73.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.22-24. Copies available in the Rockville Planning Department and National Park Service.

Respectful Rehabilitation: Answers to Your Questions on Historic Buildings.  
Prepared by Technical Preservation Services, National Park Service, U.S.  
Department of the Interior, published by the Preservation Press of the  
National Trust for Historic Preservation. September 1982, 185 pages, 150  
illustrations. Copies available from the Preservation Shop, National Trust,  
1600 H Street, N.W., Washington, D.C. or for reference Rockville Planning  
Department.



ROCKVILLE HISTORIC DISTRICT COMMISSION

PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #3

Windows and Doors

The replacement of windows and doors sometimes is necessary because of excessive deterioration, wear, or non-function. When existing windows and doors are in use storm windows and doors may be desired to reduce heating and cooling costs.

I. HDC Policy: Replacement should be in-kind when feasible.

II. If in-kind replacements are not feasible, then the following should be reviewed for alternatives:

- (a) Divided lights for both single and insulated glass windows should be used that match original windows.
- (b) Synthetic or metal materials may be acceptable if other requirements are met.
- (c) Functional shutters are desirable only if originally used on the building, replacements should give appearance of original in design, material, and color.

Storm windows:

- (a) Application should have minimal adverse impact of the exterior, e.g. window trim at the frames should not be obscured.
- (b) Raw aluminum is discouraged. Matching trim paint should be applied to conform to the remainder of the house.
- (c) Proper caulking should be used to minimize condensation and possible harm to the structure.

III. Property Owner Should Submit:

- (1) Color brochures or examples of requested replacements.
- (2) Schedule of installation, contractor, color, material, justification for substitution, and use.

IV. Additional information:

Preservation Briefs: #3, Conserving Energy in Historic Buildings by Baird M. Smith, AIA. 8 pages, 8 illustrations, April 1978. Copies available in the Rockville Planning Department and National Park Service.

Preservation Briefs: #9, The Repair of Historic Wooden Windows by John H. Myers. 8 pages, 10 illustrations, January 1981. Copies available in the Rockville Planning Department and from the National Park Service.

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission, pp. 48-53, 67-68.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.25-27. Copies available in the Rockville Planning Department and National Park Service.

Respectful Rehabilitation: Answers to Your Questions on Historic Buildings. Prepared by Technical Preservation Services, National Park Service, U.S. Department of the Interior, published by the Preservation Press of the National Trust for Historic Preservation. September 1982, 185 pages, 150 illustrations. Copies available from the Preservation Shop, National Trust, 1600 H Street, N.W., Washington, D.C. or for reference, Rockville Planning Department.

ROCKVILLE HISTORIC DISTRICT COMMISSION

PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #4

New Additions

The need for additional space often requires an addition to the existing historic property. These usually are attached to the rear or side of a structure. Such additions are major projects for the property owner with many months and much thought behind each request brought to the Historic District Commission. To eliminate unnecessary delays adequate time should be allowed for the HDC review with care taken to follow these guidelines.

I. HDC policy: Well-proportioned additions that are compatible with the original structure are desirable. This generally means following roof lines, trim lines, material, and massing of the main block. Contemporary designs are acceptable; imitation historic designs should be kept to a minimum. If applying for the 25% Investment Tax Credit for a certified rehabilitation, the new addition should be carefully planned so it will qualify. (25% as of 5/86) All structural changes must also meet requirements for and obtain a City of Rockville building permit.

II. Property Owner Should Submit:

- (1) Site plan, elevations, materials, justification, and the degree of displacement of vegetation (trees, etc.).
- (2) If extensive grading is required, description of areas to be graded so that potential archeological resources may not be lost.

III. Additional information:

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.56-57. Copies available in the Rockville Planning Department and from National Park Service.

Respectful Rehabilitation: Answers to Your Questions on Historic Buildings. Prepared by Technical Preservation Services, National Park Service, U.S. Department of the Interior, published by the Preservation Press of the National Trust for Historic Preservation. September 1982, 185 pages, 150 illustrations. Copies available from the Preservation Shop, National Trust, 1600 H Street, N.W., Washington, D.C. or for reference Rockville Planning Department.

ROCKVILLE HISTORIC DISTRICT COMMISSION

PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #5

New Construction

The construction of new structures in and around the historic districts is considered important to a growing and dynamic community. Their impact on historic resources, however, can either detract or add to the setting of the district. The Historic District Commission carefully reviews applications for new construction within the districts and scrutinizes new construction on the perimeters of the districts.

I. HDC policy: New construction should be compatible with the district's setting in setback, massing, scale, materials, and details. Rooflines, fenestration, and other exterior features should be consistent with existing original design.

- (a) Contemporary designs may be acceptable if complementary to the district; imitation historic styles are discouraged. Built in modern materials using current construction techniques, these attempts to artificially recreate a style are rarely successful and may detract from the districts integrity.
- (b) Mechanical equipment should be placed in an unobtrusive location and properly screened.
- (c) Reflective materials should be avoided.
- (d) Existing mature trees should be retained if possible and landscaping plant materials and design should be suitable to the area.

II. Property Owner Should Submit:

- (1) Site plan, elevations, materials, and details.
- (2) Landscaping and extent of grading description.
- (3) Schedule of construction and contractor.

III. Additional information:

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission, 3-18, 63-76.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.43-49. Copies available in the Rockville Planning Department and National Park Service.

Respectful Rehabilitation: Answers to Your Questions on Historic Buildings.  
Prepared by Technical Preservation Services, National Park Service, U.S.  
Department of the Interior, published by the Preservation Press of the  
National Trust for Historic Preservation. September 1982, 185 pages, 150  
illustrations. Copies available from the Preservation Shop, National Trust,  
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Department.

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ROCKVILLE HISTORIC DISTRICT COMMISSION

PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #6

Fencing

A variety of fencing types is found within Rockville's historic districts including picket, wrought iron, wooden cross beam, and wire and post. This diversity corresponds to the range in character of the districts and the many different uses intended for the fences.

I. HDC policy: There is no single appropriate fence for the historic districts. Each application must be evaluated on a case-by-case basis given the requested location. Generally, fences that strengthen the historical flavor of the districts, based on historical photographs, etc. are considered acceptable. Owner must also comply with requirements for and obtain a fence permit from the City of Rockville.

As a rule, chain link and stockade fences are unacceptable if visible from a public right-of-way.

II. Property Owner should submit:

- (1) Photograph or drawing of proposed fence.
- (2) Site plan showing the desired location.
- (3) Color, material, and accompanying landscaping.
- (4) Schedule for installation and contractor.

III. Additional information:

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission, 3-18, 73-74.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.43-49. Copies available in the Rockville Planning Department and National Park Service.

Respectful Rehabilitation: Answers to Your Questions on Historic Buildings. Prepared by Technical Preservation Services, National Park Service, U.S. Department of the Interior, published by the Preservation Press of the National Trust for Historic Preservation. September 1982, 185 pages, 150 illustrations. Copies available from the Preservation Shop, National Trust, 1600 H Street, N.W., Washington, D.C. or for reference Rockville Planning Department. .pa

ROCKVILLE HISTORIC DISTRICT COMMISSION

PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #7

Landscaping

Appropriate and attractive landscaping within the historic districts complements the buildings and enhances the setting. The Historic District Commission encourages landscaping improvements and reviews only those visible from a public right-of-way and/or the removal of trees/shrubs.

I. HDC policy: The ideal landscaping retains mature live trees and shrubs, favoring replacement with material of similar type. In the case of overgrown or inappropriate original plantings, replacement should correct the situation and be based on local historical prescedent. When substantial landscaping is planned, care should be taken to minimize the effects on the setting and the building. In some instances, a grading permit must also be obtained from the City of Rockville.

- (a) Dead trees or shrubs should be replaced with in-kind species plantings if still appropriate.
- (b) The removal of live trees or shrubs is discouraged.
- (c) Historically accurate new plantings are encouraged.
- (d) Care should be taken in selection of edging and mulch materials when visible from public way, avoiding obvious modern plastic or synthetic edgings, marble, lava, crushed rock, or other historically unsuitable ground covers.

II. Property Owner should submit:

- (1) Site plan with plant and tree types/species identified.
- (2) Schedule for work and contractor.
- (3) Describe the degree of grading, if planned.

III. Additional information:

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission, pp. 3-18, 73.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.43-49. Copies available in the Rockville Planning Department and National Park Service.

ROCKVILLE HISTORIC DISTRICT COMMISSION

PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #8

Parking Lot

The change in use or reuse of some areas within the historic districts necessitates more and/or larger parking lots. Although strictly controlled by the zoning ordinance, many factors concerning a new lot come before the Historic District Commission.

I. HDC policy: The location and materials used in a new parking lot should be sensitive to the overall character and setting of the district and the streetscape. Appropriate screening is required by law in the O-2 (transitional office) zone and is generally required by the HDC in other situations where parking lot area is visible. Live plant material is usually preferred over barrier screening. Parking areas must also conform to the laws of the City of Rockville in size, grade and sediment control.

- (a) The removal of mature live trees should be kept to a minimum.
- (b) Paving material should be as unobtrusive as possible.
- (c) Precaution should be taken to insure that runoff is minimized and directed away from the historic property.
- (d) An adequate distance from historic structure should be allowed to limit visual and traffic impact.
- (e) Landscaping should be provided, as necessary.

II. Property Owner Should Submit:

- (1) Site plan that includes the number of spaces, lot location, and driveways.
- (2) A description of the grading, if any.
- (3) Landscaping, if needed.
- (4) Schedule of work and contractor.

III. Additional information:



ROCKVILLE HISTORIC DISTRICT COMMISSION  
PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #9

Signage

There are a number of occasions that require the use of signs within the historic districts, both temporary and permanent. These needs are often changing, thus the Historic District Commission frequently reviews applications for signage. Free-standing, affixed, and hanging signs now exist in the districts.

I. HDC policy: Signs within the historic districts should be kept to a minimum. When necessary, applications for signs should fit the character of the street. For example, narrow streets and setbacks on North Adams and South Washington Streets may be best suited for affixed or hanging "shingle" signs. West Montgomery Avenue, Courthouse Square, and Church Street may find free-standing or hanging signs appropriate.

- (a) All signs should be simple in design with limited words.
- (b) The scale, color, and material of a sign should be compatible with the associated building and street setting.
- (c) Illuminated signs are disallowed.
- (d) Indirect lighting of signs may be allowed.
- (e) Contemporary signs are not disallowed and may be selected over those based on historical precedents.

II. Property Owner Should Submit:

- (1) Drawings, materials, colors, lettering of proposed sign.
- (2) Site plan showing preferred location of sign.
- (3) Brief justification for the need of signage, if a new request.

III. Additional information:

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission, pp. 3-18, 74-75.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.43-49. Copies available in the Rockville Planning Department and National Park Service.

ROCKVILLE HISTORIC DISTRICT COMMISSION

PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #10

Utilities/Code Compliance

The necessity for conveniences, safety, and building code compliance introduces a range of potentially obtrusive elements such as air conditioner units, wheelchair ramps, and utility boxes to the historic districts. These often must be located near historic properties or public right-of-ways. Although these elements are necessary, the Historic District Commission reviews such applications so that the least obtrusive solutions may be found.

I. HDC policy: Utilities and code requirements of a physical nature that affect the exterior appearance of historic properties within the historic districts or the environmental setting of the historic districts should be placed to the rear of properties or properly screened with acceptable material.

- (a) Air conditioner units, heat pumps, utility boxes should be placed at the rear of properties.
- (b) Utility switch boxes and equipment lockers are required by law to be underground or screened from public view.
- (c) Traffic signals and signs should be designed and placed with a minimal impact on the districts.
- (d) New herringbone brick sidewalks and underground utility lines are encouraged within the historic districts.
- (e) New street elements, e.g. benches, bus shelters, should be designed to complement but not imitate the historic period of the historic districts.

II. Property Owner or Applicant Should Submit:

- (1) Site plan illustrating location of utilities.
- (2) Description of grading or other land disturbance that might have an effect on archeological resources.
- (3) Elevations and photographs, etc., when applicable.

III. Additional information:

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission, pp. 3-18, 75-76.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.41-49, 51-52. Copies available in the Rockville Planning Department and National Park Service.

Access to Historic Building for the Disabled: Suggestions for Planning and Implementation by Charles Parrott, 92 pages, 42 illustrations, 1980. Available from the National Park Service.

Gaslighting in America: A Guide for Historic Preservation by Denys Peter Myers, 248 pages, 120 illustrations, 1978. Available from the National Park Service.

Respectful Rehabilitation: Answers to Your Questions on Historic Buildings prepared by Technical Preservation Services, National Park Service, U.S. Department of the Interior, and published by the Preservation Press of the National Trust for Historic Preservation, 185 pages, 150 illustrations, September 1982. Available from the Preservation Shops, 1600 H Street, N.W. Washington, D.C. 20006 or for reference Rockville Planning Department.

ROCKVILLE HISTORIC DISTRICT COMMISSION

PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

Technical Brief #11

Relocation/Demolition

The request to relocate or demolish historic properties within the historic districts sometimes arises. This often is seen as a last resort for otherwise economically infeasible rehabilitation or higher use for the property. However, since the late 1970s, federal, state, and local programs have been developed to encourage rehabilitation by offering tax incentives.

I. HDC policy: The relocation or demolition of historic properties within the historic districts is discouraged and should be considered only as a last resort. If acceptable alternatives are not possible, the following should be met:

Relocation

- (a) Every attempt should be made to relocate to a similar setting without damaging the established character of the new location.
- (b) Competent, referenced, and bonded companies should be secured for the move.
- (c) Vacant lots within the district may be used for the relocated structure, when appropriate.
- (d) Before relocation, the historic structure should be properly site inventoried and a photographic record made.

Demolition

- (a) The significance of the structure and its contribution to the district should be assessed and recorded on a site inventory. A photographic record which includes scale should be made. An effort should be made to obtain architectural features or items of historical importance to the City before demolition.
- (b) Public interest in its preservation is a consideration.
- (c) Circumstances and condition of the structure must be evaluated, using comparable rehabilitated values, incomes, and rehabilitation costs vs. redevelopment costs. Efforts should be made to develop and offer alternative plans, financing help through low-cost loans and other incentives, attract interested users and project developers.

- (d) The physical and economic feasibility is important in the decision to approve a demolition.
- (e) The Commission has 90 days to find acceptable alternatives to the demolition, if it feels that it is physically and economically feasible.

## II. Property Owner Should Submit:

- (1) Justification for request.
- (2) Structural and economic analysis, including reuse alternatives and tax incentives.
- (3) Site plan and preferred alternatives, if requesting relocation.
- (4) Description of grading and other land disturbance to determine extent of damage to archeological resources.

## III. Additional information:

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission, pp. 3-18, 63-64, 74.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp. 41-49. Copies available in the Rockville Planning Department and National Park Service.

Moving Historic Buildings. by John Obed Curtis, 56 pages, 47 illustrations, 1979. Available from the National Park Service.

## ROCKVILLE HISTORIC DISTRICT COMMISSION

### PROPOSED GUIDELINES FOR THE HISTORIC PROPERTY OWNER

#### Technical Brief #12

#### Color Selection

Although the Historic District Commission does not review color selection, property owners frequently seek guidance on the proper color and types of paint to use. This varies from place to place within the historic districts and according to the styles and details of the property in question. However, there are general guidelines for the proper color and paint selection.

I. HDC recommendation: The colors chosen for a structure should be limited to no more than three. The tints should complement the original materials of the structure and enhance its attractiveness. Generally, oil based or comparable paints are better and have a longer life. A variety of colors are available in this type.

#### III. Additional information:

Architectural Design Guidelines for the Exterior Rehabilitation of Buildings in Rockville's Historic Districts Adopted September 1977, Rockville Historic District Commission, pp. 3-18, 70-73.

U.S. Department of the Interior, National Park Service, Secretary of the Interior's Standards and Guidelines for Rehabilitation, pp.16-18.  
Copies available in the Rockville Planning Department and National Park Service.

Preservation Briefs: 10. Exterior Paint Problems on Historic Woodwork. by Kay D. Weeks and David W. Look, AIA. 12 pages, 14 illustrations, November 11982. Available from the National Park Service.

Athenaeum Library of Nineteenth Century America. Exterior Decoration: Victorian Colors for Victorian Houses. Introduction by Samuel Dornsife, Philadelphia: The Athenaeum of Philadelphia, 1976.

Respectful Rehabilitation: Answers to Your Questions on Historic Buildings prepared by Technical Preservation Services, National Park Service, U.S. Department of the Interior, and published by the Preservation Press of the National Trust for Historic Preservation, 185 pages, 150 illustrations, September 1982. Available from the Preservation Shops, 1600 H Street, N.W. Washington, D.C. 20006 or for reference Rockville Planning Department.

APPENDIX E  
FINANCIAL INCENTIVES FOR  
PROPERTIES IN HISTORIC DISTRICTS

A. Concept and Types of Financial Incentives

Financial incentives for owners of historic property typically come from the public sector in the form of income or property tax credits, tax abatement, loans, or grants. Such incentives channel private investment into specific areas of the community determined to be of special historic or architectural value. Through standards for design review judiciously applied by a qualified commission, the public investment is insured and of mutual benefit.

~~In general, financial incentives for owners of historic property are~~ desirable because they stimulate investment and recognize the inherent value that historic property offers in attracting visitors, investors, newcomers, and fostering pride among residents. The owners receive higher property values, quality improvements, and the insurance that values will continue to increase from stable adjacent or neighborhood development. Public benefits include more stable and cohesive neighborhoods, civic beauty and pride, and increased tax revenues from increased jobs, especially skilled and semi-skilled labor, the conservation of energy and community resources, and the attraction of service and retail small businesses.

B. Summary of Historic Housing in Rockville

The Maryland Historical Trust estimates that housing represents approximately 80% of the historic resources in the State; in Rockville, this may be as high as 90%. Based on the 1980 Census data, there are approximately 504 housing units in the City that were built pre-1939. (Generally, fifty years is considered the starting point for "historic" property.) The current designated historic districts in Rockville now encompass eighty-one houses with approximately four of those built since 1939. The majority of these are found in Planning Area 4, although Planning Areas 1, 2, and 6 also have houses built pre-1939.

C. Current Initiatives for Property Owners in Historic Districts

1. Federal Initiatives: US Department of the Interior, National Park Service

a. Preservation Tax Incentives for Historic Buildings

As approved in the Economic Recovery Tax Act of 1981, an owner or long-term leasee of an income-producing certified historic structure listed on the the National Register of Historic Places individually or as a contributing structure to a National or local historic district is eligible to apply for a 20% Investment Tax Credit on federal income taxes. Approval of an application is based on the following:

1. The rehabilitated property must be income-producing. This generally means a commercial or industrial building, but a residential structure qualifies if at least two units are included.
2. The rehabilitation work must be determined a substantial rehabilitation with costs exceeding \$5,000 or the adjusted basis of the building (actual cost minus land and depreciation already taken).
3. All work must follow the Secretary of the Interior's Standards and Guidelines for Rehabilitation Projects.
4. The monetary test to qualify for the tax credit must be met within a 24-month period, or for phased projects with approved architectural plans and specifications completed beforehand, within 60 months.
5. Other specific income category requirements and limitations as defined in the 1986 tax reform act may affect applications and return. There are also recapture features for properties sold in less than five years.

The application for the tax credit comes in three parts. Part I is the application for certification that the property contributes to the historic district in which it is located. Part II certifies that the rehabilitation, proposed or in progress, meets the Standards. Part III states that the project is complete and meets the Standards. Applications are submitted to the Trust for review and recommendation and then forwarded to the Mid-Atlantic Regional Office of the National Park Service for review and certification. A sliding-scale processing fee is assessed by the Park Service for projects over \$20,000.

Non-historic buildings, 30 years old or over, not designated, that are substantially rehabilitated can qualify for a 10% Investment Tax Credit. Residential rehabilitation is not allowed with these credits.

In 1985, 114 projects were approved for tax credits in the State. Investors expended over \$84 million with the average project being \$737,727. Over 900 housing units were created from these projects.

In the City of Rockville, since 1981, two applications have been submitted for tax credits with the B & O Railroad Station rehabilitation being approved in 1984.



b. Federal Matching Grants-in-Aid for Development Projects

Until 1981, Federal matching grants-in-aid were available from the National Park Service, US Department of the Interior, through the Maryland Historical Trust. Congress has appropriated funds for this program only once since 1981, part of the Emergency Jobs Bill of 1983. Properties must be listed individually or within a district in the National Register of Historic Places. Non-profit organizations and foundations, private individuals, business entities, and political subdivisions may apply for these funds. All grants require a dollar-to-dollar match. Funds can be used for capital improvements only.

2. State Initiatives: Maryland Historical Trust

The Technical Preservation Services of the Maryland Historical Trust, a unit of the Department of Economic and Community Development, administers the financial assistance programs for historic properties in the State of Maryland. These are either direct or indirect assistance.

Forms of direct assistance include:

a. Revolving Loan Fund

Private individuals, non-profit organizations and foundations, business entities and political subdivisions may apply for these funds, which may be used for acquisition of, or capital improvements to, all categories of historic real property. Successful applicants must convey a perpetual historic preservation easement on the assisted property to the Maryland Historical Trust prior to the release of loan funds. Structures for which funds are sought must be listed in or determined eligible for the Maryland Register of Historic Properties and are evaluated on the basis of the Trust's established Open Project Selection Process criteria.

b. State Capital Grant Fund

Private individuals, non-profit organizations and foundations, business entities, and political subdivisions may apply for these funds. While applications for assistance to privately-owned properties are accepted, the Open Project Selection Process criteria discourage their selection unless they are of outstanding architectural or historical significance. Grant funds (averaging \$30,000) can be used for acquisition of or capital improvements to all categories of historic real properties listed in or determined eligible for the Maryland Register of Historic Properties. Grant recipients must agree to convey a perpetual historic preservation easement to the Trust in exchange for the grant funds.

Forms of indirect assistance include:

a. The 502-H Program

This program enables the owner-occupant of a residential certified historic structure to receive a state tax deduction for 100% of the costs of a rehabilitation which is certified as complying with the Secretary of the Interior's Standards for Rehabilitation. The Comptroller of the Treasury reviews the application for eligible expenditures; the Trust reviews the application to establish that the property is a certified historic structure and that an appropriate rehabilitation has been undertaken. Structures must be individually listed on the National Register of Historic Places or be a contributing element of a National or local historic district prior to the time that the project is carried out.

An amendment to this legislation has been proposed to include non-depreciable historic property, either individual structures or contributing elements to districts, locally designated by Certified Local Governments in Maryland.

Several Rockville residents have applied and received assistance under the 502-H program.

b. Gift Easement Program

Owners of properties on the National Register of Historic Places or within locally certified historic districts may convey a perpetual historic preservation easement as a gift to the Maryland Historical Trust. The tax consequences of a gift easement to the donor are, for the most part, directly related to the value of the gift. The value of a preservation easement is equal to the loss in value of the property which results from subjecting it to the easement. The consequences must be determined between the potential donor and the taxing authorities.

This information is provided by the Maryland Historical Trust, 21 State Circle, Annapolis, Maryland 21401.

3. Montgomery County Initiatives: Historic Preservation Commission

a. Article VI, Chapter 52 of the Montgomery County Code 1972

Property owners completing restoration work on a historic site may be eligible for a 10% credit on real property taxes or a 5% credit on one located within a historic district, if listed on the Montgomery County Master Plan for Historic Preservation. Such work must be approved with a Historic Area Work Permit granted by the Montgomery County Historic Preservation Commission. The credit is permitted for the cost of materials and the value of the labor performed, but the work must be

undertaken by a contractor licensed in the County and actually performed by the contractor. The tax credit is retroactive to the time of implementation of the historic preservation ordinance of the County.

An amendment to Article VI has been proposed that would include historic properties located in jurisdictions with separate preservation ordinances and administering bodies. Restoration projects would be required to submit work permits and local HDC review to the Department of Finance in Montgomery County. These are also retroactive to the time of enactment of the County ordinance.

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4. City of Rockville Initiatives: Existing or Potential

a. O-2 Zone: Office Transition (Existing)

This zone encourages the preservation and reuse of existing residential structures as office space for private, quasi-public, and public uses. It is intended to stabilize residential neighborhoods near commercial and office areas. The east side of North and South Adams and north of West Jefferson Streets, approximately nine houses are now zoned O-2.

b. Property Tax Credits (Potential)

Many communities offer property owners in locally designated historic districts relief on property taxes proportionate to approved rehabilitation work. This may be either a percentage of the total expended on the rehabilitation or 100% for certain types of expenses, e.g. local contractors and supplies, and may be taken at once or extended over several years.

c. Tax Abatement (Potential)

Often accompanying tax credits, tax abatement is sometimes allowed when substantial rehabilitation work is performed on historic properties. This allows the owner of the property to avoid an increased property assessment for a specified number of years, usually 5-10, following the completed property improvements.

d. Loan and Grant Programs (Potential)

Loan and grant programs may take a number of forms from offering low-interest loans, in cooperation with local commercial lending institutions, to providing a loan and grant pool for qualified borrowers to acquire or rehabilitate historic property. These generally work well when the local government wants to stimulate reinvestment in a blighted, but locally significant, property or area. Such programs often involve a review commission, transfer of a facade easement, and pre-set maintenance standards.

Variations on this are for an institution to "buy-down" loans to borrowers from a local commercial lender by insuring a percentage of the total loan package, or to establish a "revolving fund" that is replenished by payments on or resale of acquired properties. Some communities, when allowed by legal authorities, have established loan and grant programs by issuing tax-exempt bonds.

The purchase, resale, and rehabilitation of the Dawson Farm cottage is an example of one variation of a loan program. In this case, the City acquired the property through dedication, sold to Peerless Rockville, Ltd. then loaned Peerless funds for improvements to the property at no interest. This partnership allowed the City to facilitate the rehabilitation of a significant historic house while minimizing risk. This is a successful example of public/private cooperation.

e. Easements (Potential)

The granting of an easement allows an owner of a historic property to transfer certain property rights to a charitable/non-profit organization and take a deduction on federal income taxes equal to the value of the easement. With historic property, this usually means a front facade, with or without land, and involves substantially improved/restored property. The easement is typically held in perpetuity and reviewed periodically by the holding institution for maintenance and changes in design. Peerless Rockville is one local organization that accepts easements.

f. Preferential Assessments (Potential)

This financial assistance tool grants the property owner of particular property a lower assessment and therefore lower property taxes. A number of jurisdictions have granted such assessments to agricultural land. The concept, however, is applicable to historic property designated as a local historic site or part of a district.

g. Tax Increment Financing (Potential)

Substantial improvements to property increase its value and potential resale by increments. A number of communities have earmarked increases in tax assessments or improved properties to finance special projects within the area of tax increment financing. This may be used in a historic district if the properties are undergoing significant improvements and further rehabilitation is expected.

#### h. Special Improvement District Financing

Public improvements in a specific area are sometimes financed through a special tax assessment on property within a pre-designated district. This is a financing tool used extensively in the west to finance highway projects. Assessments are determined in a variety of ways, but one common means is to determine the linear footage of property and apply a set rate per foot. In a historic district, this program may be used to make improvements otherwise unaffordable.

#### C. Conclusions and Recommendations

Many jurisdictions have developed financial incentives for the owners of historic resources to preserve and maintain their property. These incentives are applied to both commercial and residential properties, and the benefits are shared by both the private and public sectors.

The federal government and State of Maryland offer a number of financial incentives that are available to property owners in Rockville, but few owners have taken advantage of these opportunities. Montgomery County also sponsors a program for historic property owners, but it is not open to Rockville owners at the present time. While negotiations may continue in this regard and opportunities avail themselves at other governmental levels, there are few financial incentives being granted to the owners of property in Rockville's historic districts other than passive zoning assistance. Given that approximately 90% of the City's historic resources are houses and that roughly seventy-five of the structures in the districts are houses built pre-1939, the effect on the City's tax revenues if incentives were offered is believed to be minimal.

#### Recommendations:

##### Information and Assistance to Owners of Historic Properties

1. The City should provide assistance to property owners in the historic districts when applying for financial assistance through programs now offered by the federal and State governments. This could range from a passive role (offering information packets and applications to citizens requesting them) to an active one (designating a City Department and budgeting a percentage of an employee's time). The costs would depend on the extent of involvement by the City. Approximately one-quarter of a full-time position (\$7,500) would be required to administer an active program.

##### City Support of State and County Programs

2. The City should support programs at the State and County levels that assist City historic district property owners in rehabilitation and restoration projects through financial incentives. Existing organizations such as the Maryland Municipal League and Maryland Association of Historic Districts Commissions are two bodies the City could rely on to promote such activities.

### Local Property Tax Credit

3. The City should enact, based on Section 9-204 of the Tax Property Article of the Annotated Code of Maryland, a local tax credit of 10% for properly documented expenses of property owners for the restoration and preservation of a structure that has been determined of historic or architectural value, i.e. located in a designated historic district or a site. A 5% tax credit should be granted for properly documented expenses for architecturally compatible new construction in a historic district. These credits are applied against the City property taxes and, although granted in one year, may be applied to five subsequent tax years. The tax credits are monitored through the Certificate of Approval process with the Historic District Commission. The uncertainty of the number of applications and expenditures precludes estimating the impact on the City's revenues. This recommendation is similar to programs in use in the City of Laurel, Prince George's and Montgomery Counties.

### City Initiate State Legislative Support

4. The City should consider having a local delegate to the Maryland Assembly propose legislation that gives municipalities and all counties the authority to establish tax abatement programs. This would allow 100% of the increased valuation from restoration or improvements to be exempted from new assessments for two years and on a declining percentage scale thereafter up to five years. Similar programs now exist in Frederick County, including Frederick City and New Market, and Allegheny County based on specific enabling legislation.

### Loan and Grant Program

5. The City should enact, on a case-by-case basis, loans or grant programs that may benefit the preservation of special historic resources or areas that might otherwise be overlooked for reinvestment. To qualify, an applicant must own or be prepared to buy the property, state the intended use of the property, and meet a set of criteria developed by the Mayor and Council. This would benefit the preservation of special historic resources or areas that might otherwise be overlooked for reinvestment. To start a revolving loan fund, the City should set aside a percentage (5-10%) of property taxes paid in the historic districts to finance loans to property owners. This fund may be reviewed on a competitive basis by the City and provide below-market rates at flexible terms. Additional research will be necessary to formally structure a loans and grants revolving fund, should this approach be considered desirable by the Mayor and Council.

\* Information for this appendix is in part from the Maryland Historical Trust, "Summary of Trust Direct and Indirect Financial Assistance Programs," 1985.

SECTION 8.01 OF ARTICLE 66B OF THE ANNOTATED CODE OF MARYLAND  
( 1983 REPLACEMENT VOLUME)

**Art. 66B, § 7.04**      ANNOTATED CODE OF MARYLAND

**§ 7.04. Severability.**

If any clause, sentence, part or parts of this article, or of any section thereof shall be held unconstitutional, such unconstitutionality shall not affect the validity of the remaining parts of this article or of any section thereof. The legislature hereby declares that it would have passed the remaining parts of this article or any section thereof, if it had known such clause, sentence, part or parts of any section thereof should be declared unconstitutional. (An. Code, 1951, § 36; 1939, § 36; 1933, ch. 599, § 27; 1970, ch. 672, § 1.)

**§ 7.05. Repeal of inconsistent laws.**

Except as otherwise provided herein, all acts and parts of acts, laws and parts of law [laws], ordinances and parts of ordinances, inconsistent herewith or contrary hereto, are hereby repealed to the extent of such inconsistency, provided, however, that §§ 2.01-2.11 and all laws and ordinances passed pursuant thereto shall not be affected hereby, and that this article shall be deemed to be in addition to said §§ 2.01-2.11 and not in substitution therefor. (An. Code, 1951, § 37; 1939, § 37; 1933, ch. 599, § 28; 1970, ch. 672, § 1; 1971, ch. 793; 1972, ch. 131.)

**HISTORIC AREA ZONING**

**§ 8.01. Declaration of public purpose; power to regulate historic, etc., structures; purpose of ordinance or resolution; "structure" and "appurtenances and environmental settings" construed.**

(a) (1) The preservation of structures of historic and architectural value together with the appurtenances and environmental settings is a public purpose in this State.

(2) The board of county commissioners of every county in the State and the mayor and city council, by whatever name known, of every municipal corporation, except the Mayor and City Council of Baltimore City may, by ordinance or resolution regulate the construction, alteration, reconstruction, moving and demolition of such structures, their appurtenances and environmental settings within their respective limits. Hereafter in this subtitle such counties and municipal corporations are referred to as "county" or "counties" or "municipal corporation" as the case may be.

(3) In this subtitle, "structure" means a combination of material to form a construction that is stable; including among other things, buildings, stadiums, reviewing stands, platforms, stagings, observation towers, radio towers, water tanks and towers, trestles, piers, paving, bulkheads, wharves, sheds, coal bins, shelters, fences and display signs. The term also includes natural land formations and appurtenances and environmental settings. The term shall be construed as if followed by the words "or part thereof." "Appurtenances" and "environmental settings" include walkways and driveways (whether paved or

SECTION 8.01 OF ARTICLE 66B OF THE ANNOTATED CODE OF MARYLAND  
1983 REPLACEMENT VOLUME)

## ZONING AND PLANNING

## Art. 66B, § 8.01

not), trees, landscaping, and rocks. In this subtitle, "demolition" includes, in municipal corporations only, any wilful neglect in maintenance and repair of a structure, not including any appurtenances and environmental settings, held or used in a trade or business or for the production of income, that does not result from financial inability to maintain and repair the structure and that threatens to result in any substantial deterioration of the exterior features of the structure.

(b) The purpose of an ordinance or resolution in any county or municipal corporation shall be (1) to safeguard the heritage of the county or municipal corporation by preserving the district therein which reflects elements of its cultural, social, economic, political, or architectural history; (2) to stabilize and improve property values in such a district; (3) to foster civic beauty; (4) to strengthen the local economy; and (5) to promote the use and preservation of historic districts for the education, welfare, and pleasure of the residents of the county or municipal corporation. (1963, ch. 874; 1965, ch. 294; 1966, chs. 463, 546; 1969, ch. 471; 1970, ch. 672, § 1; 1971, chs. 225, 440, 793; 1972, ch. 131; 1975, ch. 70, § 3; 1977, ch. 423.)

**Subtitle affords due process to property owners.** — The protections for the property owner contained in this subtitle and the Historic District Ordinance quite sufficiently afford a property owner due process of law. *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

**It does not unconstitutionally confiscate property.** — Provisions of this subtitle and Annapolis Historic District Ordinance provide that the Commission may prevent the destruction or change in the exterior of the building only and do not deprive owner of all reasonable use of the property, and thus, they do not unconstitutionally confiscate. *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

**Areas rightly preserved by exercise of police power.** — The police power may rightly be exercised to preserve an area which is generally regarded by the public to be pleasing to the eye or historically or architecturally significant. *Mayor of Baltimore v. Mano Swartz, Inc.*, 268 Md. 79, 299 A.2d 826 (1973).

**Subtitle inapplicable to chartered counties.** — The enabling law for historic area zoning set forth in this subtitle does not apply to chartered counties. 60 Op. Att'y Gen. 569 (1975).

**Specific method established by subtitle must be followed.** — The enabling legislation for historic zoning set forth in this subtitle establishes a specific method for the consideration of applications for new construction or alteration of existing structures within a historic district, and a local government, exercising historic zoning pursuant to the enabling authority, cannot depart from this

method by considering individual applications to delete specific sites or structures from a historic district. 62 Op. Att'y Gen. 490 (1977).

**Changing boundaries of district.** — A local government may change the boundaries of a historic district since the ability to change the boundaries of a historic district always exists with the local government. 62 Op. Att'y Gen. 490 (1977).

**Change-mistake rule is not applicable to historic zoning.** 62 Op. Att'y Gen. 490 (1977).

**Aesthetic considerations can play proper role in zoning process.** *Mayor of Baltimore v. Mano Swartz, Inc.*, 268 Md. 79, 299 A.2d 826 (1973).

**Permit required for change in exterior appearance of building in historic district.** — If one proposes to do anything to a building within a historic district which will involve changes to the exterior appearance of the structure visible from a street or alley in the district, then one must obtain a permit. *Faulkner v. Town of Chestertown*, 290 Md. 214, 428 A.2d 879 (1981).

**Commission's jurisdiction to extend to all owners.** — The General Assembly could well conclude that, in order to accomplish historic and architectural preservation, the jurisdiction of the commission should extend to all owners be they private persons or governmental agencies. *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

**The historically or architecturally valuable building is just as much lost by destruction by a public body as it would be by a private owner.** *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).



SECTION 8.01 OF ARTICLE 66B OF THE ANNOTATED CODE OF MARYLAND  
1983 REPLACEMENT VOLUME)

**Art. 66B, § 8.02** ANNOTATED CODE OF MARYLAND

To accomplish the primary purposes of historic area zoning, it is necessary that the exterior of the building having historic or architectural value be preserved against destruction or substantial impairment by everyone, whether a private citizen or a governmental body. *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

There are substantial and significant differences between traditional zoning and historic area zoning, which indicate that the General Assembly by this subtitle, as amended, intended that the political subdivisions owning land within a historic district be subject to the

jurisdiction of the historic area commission. *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

The fact that the procedure for traditional zoning is mandated for the establishment of the historic areas — giving of notice, filing of plats, etc. — indicates that the General Assembly intended that the substance of the legislation in regard to historic area zoning was to be different from that of traditional zoning, rather than the contrary. *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

**§ 8.02. Power to establish, etc., districts.**

For the purposes of this subtitle each county and each municipal corporation may establish, change, lay out, and define districts which are deemed to be of historic or architectural value, following the procedure in such county or municipal corporation applicable to the establishment or change of areas and classifications of zoning. (1963, ch. 874; 1970, ch. 672, § 1; 1971, ch. 793.)

**Substantial differences between historic area and traditional zoning.** — The fact that the procedure for traditional zoning is mandated for the establishment of the historic areas — giving of notice, filing of plats, etc. — indicates that the General Assembly intended that the substance of the legislation in regard to historic area zoning was to be different from that of traditional zoning, rather than the contrary. *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

Process by which historic boundaries are altered is analogous to process of comprehensive zoning rather than the zoning or rezoning of an individual property. 62 Op. Att'y Gen. 490 (1977).

**Power to change boundaries of district not limitless.** — While a local government may change the boundaries of a historic district, a local government is not free to make any changes it wishes in the boundaries of a historic district. 62 Op. Att'y Gen. 490 (1977).

**Removal of property from district.** — Any action by the local governing body which produces the removal of a single property or an extremely limited number of parcels from a historic district must be the consequence of a process whereby the overall configuration of the district is considered and the impact on the entire district and surrounding areas of historic district regulation is taken into account. 62 Op. Att'y Gen. 490 (1977).

**§ 8.03. Historic district commission generally; report by Maryland Historical Trust.**

(a) A county or a municipal corporation may create a commission to be called "the historic district commission." The commission shall have a membership of from three to seven persons all of whom are qualified by special interest, knowledge or training in such fields as history, architecture, preservation or urban design and agree to serve on this commission and all of whom are residents of the county or municipal corporation as the case may be. The members shall be appointed for terms of three years each except that in making the initial appointments some appointments shall be established for less than three years in order that as these initial terms expire all appointments shall be for three years and shall not expire at the same time. Members of any commission are eligible for reappointment. Any vacancy on a commission shall

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be filled by the appointing authority for the unexpired term of the particular position. County or municipal authorities may consult private societies or agencies to request the names of possible members on a commission. The commission shall have the right to accept and use gifts for the exercise of its functions.

(b) The Maryland Historical Trust may be designated by the commission to make an analysis of and recommendation concerning the preservation of structures of historic and architectural value within the area served by the commission. Such report may include proposed boundaries of districts and the use recommended to be permitted in the districts as well as identify and designate particular structures recommended to be preserved. (1963, ch. 874; 1968, ch. 162; 1970, ch. 672, § 1; 1971, ch. 440.)

Quoted in *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

#### § 8.04. Architectural easements.

The commission may purchase architectural easements in connection with structures located in or adjacent to the historic district. Such easement shall grant to the commission, the residents of the historic district, and the general public the perpetual right to have the exterior appearance of any structure upon which it is applied retained in substantially the same character as when the easement took effect. (1968, ch. 162; 1970, ch. 672, § 1.)

Difference between historic district zoning and negative trust easement is the difference between a prediction that undesired change will not occur to any given structure, and an enforceable proprietary right to prevent such change. The former device does not take the place of the latter. 57 Op. Att'y Gen. 361 (1972).

If historic zoning were fully equivalent to easements, authority granted by this section would be entirely superfluous. 57 Op. Att'y Gen. 361 (1972).

Quoted in: *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

#### § 8.05. Application for permission to build, alter, etc.

Before the construction, alteration, reconstruction, moving, or demolition of any structure is made within the county or municipal corporation, if any changes are involved which would affect the exterior appearance of a structure visible or intended to be visible from an adjacent public way in the district, the person, individual, firm, or corporation proposing to make the construction or change shall file with the commission an application for permission to build, alter, reconstruct, move, demolish, or make the addition. Every such application shall be referred to and considered by the historic district commission and accepted or rejected by the commission. No permit for any such change may be granted until the commission has acted thereon as hereinafter provided. (1963, ch. 874; 1970, ch. 672, § 1; 1971, ch. 440.)

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Applied in *Faulkner v. Town of Arundel County*, 271 Md. 265, 316 A.2d 807 (1974); *Chestertown*, 290 Md. 214, 428 A.2d 879 (1981).

Quoted in *Mayor of Annapolis v. Anne*

**§ 8.06. Factors for consideration in reviewing plans for construction or change.**

In reviewing the plans for any such construction or change the commission shall give consideration to (1) the historic or architectural value and significance of the structure and its relationship to the historic value of the surrounding area; (2) the relationship of the exterior architectural features of the structure to the remainder of the structure and to the surrounding area; (3) the general compatibility of exterior design, arrangement, texture, and materials proposed to be used; (4) to any other factors including aesthetic factors which the commission deems to be pertinent. (1963, ch. 874; 1970, ch. 672, § 1.)

Quoted in *Mayor of Annapolis v. Anne* (1974); *Faulkner v. Town of Chestertown*, 290 Md. 214, 428 A.2d 879 (1981).

**§ 8.07. Only exterior features to be considered.**

The commission shall consider only exterior features of a structure and shall not consider any interior arrangements. Also, the commission shall not disapprove an application except with respect to the several factors specified in § 8.06 above. (1963, ch. 874; 1970, ch. 672, § 1; 1971, ch. 793; 1972, ch. 131.)

**Aim of historic area zoning.** — Historic area zoning is directed only at the preservation of the exterior of buildings having historic or architectural merit. *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

Traditional zoning is directed at limited control of land within the framework of the police power; historic area zoning is directed at preservation of the exterior of certain buildings. *Faulkner v. Town of Chestertown*, 290 Md. 214, 428 A.2d 879 (1981).

**Exterior of building to be preserved against destruction.** — To accomplish the primary purposes of historic area zoning, it is necessary that the exterior of the building having historic or architectural value be preserved against destruction or substantial impairment by everyone whether a private citizen or a governmental body. *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

**Plans must be submitted to commission for review and approval.** — The zoning of historic areas requires that whenever an application is made for a permit for the erection of any new building or for the alteration of or additions to any existing building within the historic district, the plans therefor so far as they relate to appearance, color, texture or materials, and architectural design of the exterior thereof must be submitted to a commission for review and approval, and in this manner to prevent the intrusion of any building which would be destructive of the nature of the district. *Faulkner v. Town of Chestertown*, 290 Md. 214, 428 A.2d 879 (1981).

**Building in historic district subject to commission's jurisdiction.** — Notwithstanding the fact that it has no architectural or historical significance, a building located within a historic district is subject to the commission's jurisdiction. *Faulkner v. Town of Chestertown*, 290 Md. 214, 428 A.2d 879 (1981).

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## ZONING AND PLANNING

## Art. 66B, § 8.09

**§ 8.08. Strictness and leniency in judgment of plans;  
limiting architectural style to one period.**

The commission shall be strict in its judgment of plans for those structures deemed to be valuable according to studies performed for districts of historic or architectural value. The commission shall be lenient in its judgment of plans for structures of little historic value or for plans involving new construction, unless such plans would seriously impair the historic or architectural value of surrounding structures of the surrounding area. A commission is not required to limit new construction, alteration, or repairs to the architectural style of any one period. (1963, ch. 874; 1970, ch. 672, § 1.)

Quoted in *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974); *Faulkner v. Town of Chestertown*, 290 Md. 214, 428 A.2d 879 (1981).

**§ 8.09. Application for reconstruction, alteration, etc., of  
structure of unusual importance.**

(a) If an application is submitted for reconstruction or alterations affecting the exterior appearance of a structure or for the moving or demolition of a structure, the preservation of which the commission deems of unusual importance to the county or municipal corporation or unusual importance to the entire State or nation, the commission shall attempt with the owner of the structure to formulate an economically feasible plan for the preservation of the structure. Unless in these circumstances the commission is satisfied that the proposed construction, alteration, or reconstruction will not materially impair the historic value of the structure, the commission shall reject the application for reconstruction or alteration, filing a copy of its rejection with the building inspector by whatever name known of the county or municipal corporation. An application for any such reconstruction or alteration, if rejected, shall not be renewed within a period of one year after the rejection.

(b) If an application is submitted for reconstruction, alteration, or for moving or demolition of a structure that the commission deems of unusual importance and no economically feasible plan can be formulated, the commission shall have ninety days from the time it concludes that no economically feasible plan can be formulated to negotiate with the owner and other parties in an effort to find a means of preserving the building. (1963, ch. 874; 1970, ch. 672, § 1; 1971, ch. 440.)

Quoted in *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

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**§ 8.10. Same—Approval under certain circumstances.**

In the case of a structure deemed to be valuable for the period of architecture it represents and important to the neighborhood within which it exists, the commission may approve the proposed reconstruction or alteration despite the fact the changes come within the provisions of subsection 8.09 [§ 8.09] above if (1) the structure is a deterrent to a major improvement program which will be of substantial benefit to the county or municipal corporation; (2) retention of the structure would cause undue financial hardship to the owner; or (3) the retention of the structure would not be to the best interests of a majority of persons in the community. (1963, ch. 874; 1970, ch. 672, § 1; 1971, chs. 440, 793.)

Quoted in *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

**§ 8.11. Commission meetings to be public; right to appear and be heard; records of commission.**

All meetings of a commission shall be open to the public. Any interested person or his representative is entitled to appear and be heard by the commission before it reaches a decision on any matter. The commission shall keep an open record of its resolutions, proceedings, and actions which shall be kept available for public inspection during reasonable business hours. (1963, ch. 874; 1970, ch. 672, § 1.)

Stated in *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

**§ 8.12. Certificate of approval, modification or rejection of application and plans.**

The commission shall file with the building inspector by whatever name known of the county or municipal corporation a certificate of its approval, modification, or rejection of all applications and plans submitted to it for review. Work shall not be commenced on any such project until such a certificate of approval has been filed, and the building inspector shall not issue a building permit for such change or construction unless and until he has received such a certificate of approval. If there is no building inspector in the county or municipal corporation, the owner, lessee, or tenant of the property and premises shall not commence the proposed work or change until and unless he or it has received such a certificate of approval from the commission. The failure of the commission to act upon an application within forty-five (45) days from the date the application was filed shall be deemed to constitute automatic approval of the proposed changes unless an extension of this forty-five day period is agreed upon mutually by the applicant and the commission or the

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application has been withdrawn. (1963, ch. 874; 1970, ch. 672, § 1; 1971, ch. 440.)

Quoted in *Mayor of Annapolis v. Anne Arundel County*, 271 Md. 265, 316 A.2d 807 (1974).

**§ 8.13. Ordinary maintenance not affected; completion of work under prior permit.**

Nothing in this subtitle shall be taken or construed to prevent work and repairs on any structure coming under the heading of ordinary maintenance. Nothing in this subtitle affects the right to complete any work covered by a permit or authorization issued prior to January 1, 1971. (1963, ch. 874; 1970, ch. 672, § 1; 1971, ch. 793.)

**§ 8.14. Appeal from decision of commission.**

Any person or persons, firm, or corporation aggrieved by a decision of the historic district commission has a right of appeal therefrom similar to that provided from the decision of the zoning board or commission within the county or municipal corporation. (1963, ch. 874; 1970, ch. 672, § 1.)

This section's reference to "zoning board or commission" is a reference to the commission established under § 3.01 of this article. 67 Op. Att'y Gen. (December 20, 1982).

Cited in *Urbana Civic Ass'n v. Urbana Mobile Village, Inc.*, 260 Md. 458, 272 A.2d 628 (1971).

**§ 8.14.1. Underground placement of overhead utility lines and facilities.**

(a) Every county, municipal corporation and Baltimore City may enact laws in which an historical district is located, requiring that utility companies relocate underground existing overhead lines and facilities within the defined part of the historic district or the entire historic district, and requiring the connection thereto to be placed underground if necessary by private owners then receiving service from the overhead lines and facilities. The law shall provide:

(1) The estimated cost to property owners for work to be performed on private property be determined and made available to affected property owners;

(2) Financing of these costs to private owners be provided including any charges for the amortization of the bonds issued to initially cover such private costs. The county, municipal corporation, or Baltimore City may enter into agreement with individual property owners whereupon it will advance funds to cover the property owner's costs involved in the conversion of the overhead lines and facilities and may appropriate funds, levy taxes or borrow funds to pay and advance the costs of such conversion. The county or municipal corporation and Baltimore City also may impose a benefit assessment against the

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property in the historic district for which the conversion is made in order to recapture such expended costs and make appropriate provision for the collection thereof:

(3) Any other provisions reasonably related to the objective of placing underground overhead lines and facilities, and the administration of such projects.

(b) The Baltimore Gas and Electric Company, the Chesapeake and Potomac Telephone Company of Maryland, any other applicable utilities, and any CATV company whose overhead lines and facilities may be involved shall place underground existing overhead lines and facilities within the historic area of the City of Annapolis as that area is defined by the historic district commission of the City of Annapolis. The provisions of subsection (a) of this section are applicable in reference to the costs and financing to property owners.

(c) The Potomac Edison Company, the Chesapeake and Potomac Telephone Company of Maryland, any other applicable utilities, and any CATV company whose overhead lines and facilities may be involved shall place underground existing overhead lines and facilities within the historic area of the City of Frederick as that area is defined by the historic district commission of the City of Frederick. The provisions of subsection (a) of this section are applicable in reference to the costs and financing to property owners.

(d) Notwithstanding any other provision in this section the Public Service Commission shall prescribe the amount of the monthly surcharge required to support the net capital costs and determine which customers of the applicable utility are subject to the surcharge, or the Commission shall include the related net capital costs in the rate base, or shall adopt any other method to appropriately apportion the said costs. However, in no event shall the utility be required to pay more than 50 percent of the net capital costs. The county, municipal corporation, or Baltimore City is authorized to make appropriations for such relocation projects from any appropriate federal, State, and local funds it receives for this purpose.

(e) The provisions of § 7.03 of this article do not apply to the provisions of this section. (1974, ch. 651, § 2.)

**Properties subject to section.** — This section deals only with properties within historic districts, and therefore, property owners outside the historic district would not be entitled to any benefits arising under this section. 60 Op. Att'y Gen. 148 (1975).

**Section is directory rather than mandatory** insofar as it relates to a requirement that the City of Annapolis appropriate funds necessary to place overhead utility lines underground in the historic district. 60 Op. Att'y Gen. 148 (1975).

**Subsection (a) of this section mandates** that any subdivision of the State provide financing of the estimated costs to private property owners for work to be performed on private property. The terms of repayment are within the discretion of the local government. 60 Op. Att'y Gen. 148 (1975).

**Subsection (d) mandatory.** — The specific provisions of subsection (d) of this section applicable to utilities establish a clear and affirmative obligation and are mandatory. 60 Op. Att'y Gen. 148 (1975).

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## ZONING AND PLANNING

## Art. 66B, § 9.02

## § 8.15. Severability.

The provisions of §§ 8.01-8.15 are severable, and if any of their provisions are held unconstitutional by any court of competent jurisdiction, the decision of such court shall not affect or impair any of the remaining provisions. (1969, ch. 471; 1970, ch. 672, § 1; 1971, ch. 793.)

## TRANSITIONAL PROVISIONS

## § 9.01. Continuation of commissions, boards, plans, ordinances, etc.

(a) Any planning and zoning commission, board of appeals, or historic district commission which was legally in existence as of December 31, 1970, shall be deemed to be legally constituted until the local legislative body in accordance with the provisions of this article as enacted by Chapter 672, Acts of 1970, or as subsequently amended, recreates the board or commission, or until December 31, 1975, whichever first occurs.

(b) Notwithstanding any provisions of this article as enacted by Chapter 672, Acts of 1970, effective January 1, 1971, or as subsequently amended, all comprehensive plans, zoning ordinances and district maps, subdivision regulations and historic zoning ordinances in effect as of December 31, 1970, shall continue in full force and effect as interim comprehensive plans, zoning ordinances, district maps, subdivision regulations, historic zoning ordinances, until they are lawfully replaced, modified, altered, or amended in accordance with this article as enacted by Chapter 672, Acts of 1970, or as subsequently amended, or until December 31, 1975, whichever first occurs.

(c) In Somerset County, (1) notwithstanding the provisions of subsections (a) and (b) of this section, any planning and zoning commission, board of appeals, or historic district commission which was legally in existence on December 30, 1974, is legally constituted until the local legislative body recreates the board or commission, or until October 31, 1975, whichever first occurs; and (2) all comprehensive plans, zoning ordinances and district maps, subdivision regulations and historic zoning ordinances in effect on December 30, 1974, continue in full force and effect as interim comprehensive plans, zoning ordinances and district maps, subdivision regulations, and historic zoning ordinances until they are lawfully replaced, modified, altered, or amended, or until October 31, 1975, whichever first occurs. (1971, ch. 64; 1973, ch. 341; 1975, ch. 8, § 1; ch. 363, § 1.)

## MORATORIUM IN ST. MARY'S COUNTY

## § 9.02. Legislative findings.

The General Assembly finds that:

(a) St. Mary's County is presently experiencing great development pressures, including proposals for the location of major industrial facilities.



# MARYLAND COMPREHENSIVE STATE HISTORIC PRESERVATION PLAN:

## STATEWIDE HISTORIC CONTEXTS

### I. Geographic Organization:

- |                     |   |
|---------------------|---|
| 1) Eastern Shore    | (all Eastern Shore counties, and Cecil County)  |
| 2) Western Shore    | (Anne Arundel, Calvert, Charles, St. Mary's, and Prince George's Counties)                    |
| 3) Piedmont         | (Harford, Baltimore, Carroll, Frederick, Howard, and Montgomery Counties, and Baltimore City) |
| <hr/>               |   |
| 4) Western Maryland | (Washington, Allegany, and Garrett Counties)  |

### II. Chronological/Developmental Periods:

- |  |                 |
|--|-----------------|
| 1) Paleo-Indian                        | 10000-7500 B.C. |
| 2) Early Archaic                       | 7500-6000 B.C.  |
| 3) Middle Archaic                      | 6000-4000 B.C.  |
| 4) Late Archaic                        | 4000-2000 B.C.  |
| 5) Early Woodland/Archaic              | 2000- 500 B.C.  |
| 6) Middle Woodland                     | 500- 900 A.D.   |
| 7) Late Woodland                       | 900-1600 A.D.   |
| 8) Contact and Settlement Period       | 1570-1750 A.D.  |
| 9) Rural Agrarian Intensification      | 1680-1815 A.D.  |
| 10) Agricultural-Industrial Transition | 1815-1870 A.D.  |
| 11) Industrial/Urban Dominance         | 1870-1930 A.D.  |
| 12) Modern Period                      | 1930-present    |

### III. Prehistoric Period Themes:

- 1) Subsistence
- 2) Settlement
- 3) Political
- 4) Demographic
- 5) Religion
- 6) Technology
- 7) Environmental Adaptation

### IV. Historic Period Themes:

- 1) Agriculture
- 2) Architecture, Landscape Architecture and Community Planning
- 3) Economic (Commercial and Industrial)
- 4) Government/Law
- 5) Military
- 6) Religion
- 7) Social/Education/Cultural
- 8) Transportation

## HISTORIC CONTEXT ORGANIZATION

Historic Contexts in the Maryland State Comprehensive Historic Preservation Plan are organized first by geographic region, then by time/developmental period, and then by theme (field of activity or area of significance) and the types of cultural resources associated with each theme. This organizational system provides a necessary framework for the description and analysis of all known or expected cultural resource types, and the basis for evaluating the significance of those resources.

The four **geographic regions** of the state are generally recognized physiographic provinces which also have distinctive cultural histories. The four regions are as follows:

- I. **EASTERN SHORE** (Eastern Shore, including Cecil County)
- II. **WESTERN SHORE** (Anne Arundel, Calvert, Charles, St. Mary's, and Prince George's Counties)
- III. **PIEDMONT** (Harford, Baltimore, Carroll, Frederick, Howard, Montgomery Counties and Baltimore City)
- IV. **WESTERN MARYLAND** (Washington, Allegany, and Garrett Counties)

These regions are defined on the map which appears on the next page.

Each of the above geographic regions will then be divided into the following **time/developmental periods**:

- A. **PALEO-INDIAN** 10000-7500 B.C.

Evidence indicates that territorial semi-nomadic bands, dependent primarily on hunting but also utilizing a variety of other resources, exploited a much colder, late glacial environment in which big game animals such as mastodon and mammoth roamed extensive grasslands.

- B. **EARLY ARCHAIC** 7500-6000 B.C.

General social organization remained much the same as the band-level societies of the Paleo-Indian period. However, a warming climate with an attendant replacement of grassland areas and associated big game animals with boreal forests and smaller animals such as deer, resulted in gradual cultural change.

- C. **MIDDLE ARCHAIC** 6000-4000 B.C.

More modern environmental conditions led to a probable rise in population due to more available food resources. Increasing emphasis was placed on exploiting a diversity of varied resources.

- D. **LATE ARCHAIC** 4000-2000 B.C.

Increased sedentism arises by the end of this period. Although the social system is still at a band level, seasonal population aggregation is occurring at larger camps where seasonally available food resources such as nuts and fish are harvested.

**E. EARLY WOODLAND/ARCHAIC 2000-500 B.C.**

Increasingly sedentary lifestyle. Wide-ranging trade networks established. Ceramics appear. Increasingly complex social systems.

**F. MIDDLE WOODLAND 500 B.C. - 900 A.D.**

Continued increase in social system complexity with bands organized into hamlets. Probably first beginnings of horticulture but still main emphasis on hunting and gathering. Continued trade networks.

**G. LATE WOODLAND 900-1600 A.D.**

Tribal level societies emerge, dependent on agriculture for main source of food. Hostility increased between groups as evidenced by fortified villages. The groups formed during this period formed the basis for the tribes encountered by Europeans when first settled.

**H. CONTACT AND SETTLEMENT PERIOD 1570-1750 A.D.**

This phase is first characterized by contact between the native Indian tribes and the newly arrived Europeans, and includes the interplay between the two cultures and the development of trading posts, missions, forts and Indian reservations. During the period, the native tribes were gradually replaced by European settlers who established capitals at St. Mary's City and Annapolis, and established an economy based on tobacco production in the Chesapeake region. Settlement occurred first near the Chesapeake, expanding along the bay and rivers, and gradually moving into western lands as road networks were established.

**I. RURAL AGRARIAN INTENSIFICATION 1680-1815 A.D.**

This period saw the lessening of frontier conditions in most parts of the state, and the establishment of a stable agricultural society, with tobacco replaced by agricultural diversity. Increased trade and shipping led to the founding of port towns and trading centers. Expansion into central and western Maryland was virtually completed, and the arrival of German settlers from Pennsylvania created a distinct cultural region. Several changes in the system of government occurred, from proprietary to provincial to state government. Religious, social, cultural, and educational institutions were established in most of the state, and small local industries began to appear.

**J. AGRICULTURAL-INDUSTRIAL TRANSITION 1815-1870 A.D.**

During the period following the War of 1812, commerce and industry became increasingly important in the state's economy, until development in these fields was interrupted by the Civil War. The impacts of the Industrial Revolution were seen, such as the growth of manufacturing technology and radical innovations in transportation systems (canals, railroads, turnpikes). These improved transportation techniques led to the development of Western Maryland and aided in the growth of the mining industry in that region. At the same time, Baltimore City became a major port and industrial and cultural center.

K. **INDUSTRIAL/URBAN DOMINANCE**

1870-1930 A.D.

In Maryland, the period following the Civil War saw a shift from a primarily agricultural economy to one which was dominated by industry and commerce. This trend was accompanied by the increasing dominance of towns and cities over rural areas, and the growing separation of urban and rural culture. Cities such as Baltimore, Cumberland, and Hagerstown experienced great growth, partly due to the arrival of many immigrants. The state became part of national economic and transportation networks, and with World War I, entered the international scene. Planned communities and suburban developments began to surround the major cities, which were becoming metropolitan centers.

L. **MODERN PERIOD**

1930 - Present

The effects of the Depression, and then the prosperity and growth after World War II, were seen in Maryland, as the state was increasingly influenced by national and international events, due to rapid advances in technology and mass communications. The dominance of urban and industrial culture became clearly established, although rural agricultural areas still comprised a large portion of the state. Baltimore and Washington, D.C. especially, were centers of commerce, industry, and culture, although later in the period these cities experienced a decline, reflecting a national trend. As many residents and businesses moved from the inner cities to the suburbs, suburban areas developed as a new center of influence in the state, with the greatest growth in the Baltimore-Washington-Annapolis area.

Within each of the above time/developmental periods, information is then organized under **themes**. These themes reflect broad areas of human activity, and can be used as areas of significance for all types of cultural resources. Each theme will then be divided by function into the **resource types** associated with the theme. The themes, and examples of the types of resources to be included under each theme, follow below. The themes used for the prehistoric time periods (A-G above) vary slightly from those used for historic time periods (H-L).

**PREHISTORIC PERIOD THEMES**

During the 10000 years of prehistoric Indian occupation in Maryland, a variety of cultures developed, changed, and became extinct, leaving behind but a small portion of their material remains. But through the scientific study of these remains and associated environmental data, researchers can determine the significant variables of the cultural systems which existed. These variables are interpolated so that a change in one variable causes changes in other variables. By taking a culture systems approach and developing themes which correspond to the variables of all culture systems, the state plan provides a mechanism to promote research and preservation of the variety of sites which can contribute to our understanding of past cultures.

1. **Subsistence Theme:** This theme seeks explanations of the different strategies that cultures developed to procure, process, and store food. Beyond the basic studies of site function based on the analysis of a site location, the tool types from the site, and the food remains recovered, this theme also explores the reconstruction of past habitats, study of the energy required to procure and process food, functional analysis of tools to determine what resources were being procured and processed, and the evolution of subsistence strategies over time and between different

regions of the state. Site types represent the entire range of prehistoric sites.

2. **Settlement Theme:** The settlement theme seeks explanations of different prehistoric utilization of a region in response to subsistence, political, demographic, and religious aspects of the culture system. While these studies primarily explore the subsistence-induced aspects of settlement patterns, studies of house types, village plans, and regional distributions are also combined with an analysis of the social and political aspects of settlement. Site types again reflect the entire range of sites.
3. **Political Theme:** This theme explores the inter-relationships of contemporaneous cultures and group interaction within cultures. Thus, research questions focus on the nature of the different levels of social organization, kinship systems which contribute to social integration, the intensification of production, fortification, resource redistribution, or migration in response to culture conflict or contact. The type of sites for this theme include fortified village sites, cemetery sites, and hamlet sites.
4. **Demographic Theme:** The evaluation of population trends through time as well as the factors affecting the health, mortality, and distribution of populations is the subject of this theme. Research issues include the study of adaptive responses to overpopulation or underpopulation, population composition and population control. Grave sites provide the physical anthropological data to study stress, mortality, composition, and health of prehistoric cultures while site and artifact types and interrelationships change through time. Site types include cemeteries but can also include a range of sites and chronological diagnostic artifact types.
5. **Religious Theme:** The religious theme explores the world view of various cultures and the material manifestations of spiritual beliefs. Research issues include the analysis of mortuary sites for evidence of the development of a religious elite and the study of burial practices, artifact analysis to reveal regional trends and influences in religious beliefs and study of technological aspects of religious beliefs. Site types include burial mounds, cemeteries, and sites containing features or objects associated with religious activities.
6. **Technology Theme:** Although the technological aspects of a culture form the primary basis of interpretation of all themes, this theme relates primarily to the study of mechanisms developed to transform the social and cultural environment. Research issues include the identification of changing tool type styles, the identification of different functions of tools, replication, experimental and living archeology, as well as studies of storage, transportation, and housing technologies. All sites containing artifacts or features can contribute to this theme.
7. **Environmental Adaptation Theme:** The environmental adaptation theme seeks geological and other data to reconstruct environmental changes and explores prehistoric adaptive responses to those changes. Research studies include analysis of changes in sea level, forest and animal compositions and the resultant changes in carrying capacity, the energy efficiency of various procurement and feeding strategies, and the culture processes which explain the perceived responses to the changing environmental conditions. All site types are included in this theme.

## HISTORIC PERIOD THEMES

### 1. Agriculture:

The agriculture theme relates to crop and livestock production and includes the following resource types: small family farmsteads, plantations, tobacco farms, grain producing farms, livestock/dairy farms, orchards and agribusiness.

### 2. Architecture, Landscape Architecture, Community Planning:

These themes encompass the history of design and construction in architecture, landscape architecture, and the planning of towns and cities. Resource types include impermanent structures, rural vernacular, urban vernacular, great architectural landmarks, national styles, parks, gardens and landscaped cemeteries, town and village plans, urban design, planned communities and company towns.

### 3. Economic (Commercial and Industrial):

Commercial activities include trade, finance, business, and commercial services. Examples of resource types are banks, other financial areas (real estate, insurance, etc.), trading posts, stores, market buildings, restaurants, hotels, taverns, gas stations, and other services.

Industrial activities relate to the extraction, production and processing of materials, such as quarrying, mining, manufacturing, lumbering, technology, electronics, pottery, textiles, food gathering and processing, brewing and distilling, fuel, building materials, tools, transportation, seafood, and many other industries. Resource types associated with industry are quarries, mills, factories, breweries, floating vessels and shipyards, mines, forges and furnaces, kilns, laboratories, power plants, dams, tanneries, and other small industrial sites.

Many forms of communication also are included under commerce and industry, such as telegraph, telephone, radio and television.

### 4. Government/Law:

This theme studies governmental systems, political activities and events, legal systems, important political/governmental events in history (treaty signings), and political leaders. Types of resources which represent this theme are city halls, town halls, courthouses, police departments, jails, post offices, fire departments, public works projects, other types of government buildings, and sites of important governmental events or places associated with governmental leaders.

### 5. Military:

This theme includes military activity, battles, strategic locations, and events important in military history. It includes the following resource types: armories, fortifications, battlefields, camps, travel routes, military bases, military prisons, and strategic military points such as crossings and lookouts.

## 6. Religion:

This area of study examines places of worship, religious training and education, and administration of religious facilities. Churches, meeting houses, synagogues, mosques, temples, convents, monasteries, missions, shrines, and sacred places are resource types associated with this theme.

## 7. Social/Educational/Cultural:

These themes encompass social, educational, and cultural activities and institutions; human services, welfare, charitable, fraternal, and community organizations; the fine arts and performing arts (painting, sculpture, dance, drama, music); literature; social and recreational gathering facilities; entertainment and leisure activity; and broad social, cultural, or intellectual movements. Resource types include libraries, museums, schools, colleges, hospitals, orphanages, fraternal and social meeting halls, community centers, theatres and concert halls, places associated with writers, artists, performers, resorts, amusement parks, zoos, sports facilities. Landscaped gardens, parks, and cemeteries are listed under the Architecture/Landscape Architecture/Community Planning theme.

## 8. Transportation:

This theme relates to transportation networks -- road, water, canal, railroad, and air -- and the various structures, vehicles, equipment, and technology associated with each mode of transport. Resource types include bridges of all types; boats and other watercraft, piers and wharves, ferries, lighthouses; roads and turnpikes, tollhouses, automobiles, streetcars, and other vehicles; canals, locks, and associated structures; railroads, stations, engine houses, trains; airports, airplanes, landing fields, space vehicles; and research facilities associated with transportation systems.

For each of the resource types listed under historic period themes, several classes of site types can then be analyzed. These site types include:

1. Archeological sites
2. Standing structures
3. Landscape
4. Town/City plans
5. Objects
6. Intangibles

For one region (Western Maryland), the following organizational structure illustrates how one theme, within one prehistoric and one historic period, would be examined:

**PREHISTORIC PERIOD EXAMPLE:**

REGION: IV. WESTERN MARYLAND

PERIOD: LATE WOODLAND 900-1600 A.D.

THEME: POLITICAL

RESOURCE TYPE: a. Fortified villages

SITE TYPES: 1. Archeological sites  
2. Standing structures  
3. Landscapes  
4. Town, village and city plans  
5. Objects  
6. Intangibles

b. Cemeteries  
1-6 as above

c. Hamlets  
1-6 as above

**HISTORIC PERIOD EXAMPLE:**

REGION: IV. WESTERN MARYLAND

PERIOD: H. RURAL AGRARIAN INTENSIFICATION 1680-1815 A.D.

THEME: 1. AGRICULTURE

RESOURCE TYPE: a. Small family farmsteads

SITE TYPES: 1. Archeological sites  
2. Standing structures  
3. Landscapes  
4. Town, village and city plans  
5. Objects  
6. Intangibles (Folklore)

b. Plantations  
1-6 as above

c. Tobacco farms  
1-6 as above

d. Grain farms

e. Livestock/dairy farms

f. Fruit production (orchards)

g. Agribusiness

h. Other



Thursday  
September 29, 1983

Estimated  
September 29, 1983

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**Part IV**

**Department of the  
Interior**

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**National Park Service**

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**Archeology and Historic Preservation;  
Secretary of the Interior's Standards and  
Guidelines**

## DEPARTMENT OF THE INTERIOR

## National Park Service

Archeology and Historic Preservation;  
Secretary of the Interior's Standards  
and Guidelines

AGENCY: National Park Service, Interior.

ACTION: Notice.

**SUMMARY:** This notice sets forth the Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation. These standards and guidelines are not regulatory and do not set or interpret agency policy. They are intended to provide technical advice about archeological and historic preservation activities and methods.

**DATE:** These Standards and Guidelines are effective on September 29, 1983.

**FOR FURTHER INFORMATION CONTACT:** Lawrence E. Aten, Chief, Interagency Resources Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240 (202-343-9500). A Directory of Technical Information listing other sources of supporting information is available from the National Park Service.

**SUPPLEMENTARY INFORMATION:** The Standards and Guidelines are prepared under the authority of Sections 101(f), (g), and (h), and Section 110 of the National Historic Preservation Act of 1966, as amended. State Historic Preservation Officers; Federal Preservation Officers including those of the Department of Agriculture, Department of Defense, Smithsonian Institution and General Services Administration; the Advisory Council on Historic Preservation; the National Trust for Historic Preservation; and other interested parties were consulted during the development of the Standards and Guidelines; additional consultation with these agencies will occur as the Standards and Guidelines are tested during their first year of use.

**Purpose**

The proposed Standards and the philosophy on which they are based result from nearly twenty years of intensive preservation activities at the Federal, State, and local levels.

The purposes of the Standards are:

To organize the information gathered about preservation activities.

To describe results to be achieved by Federal agencies, States, and others when planning for the identification, evaluation, registration and treatment of historic properties.

To integrate the diverse efforts of many entities performing historic

preservation into a systematic effort to preserve our nation's cultural heritage.

**Uses of the Standards**

The following groups or individuals are encouraged to use these Standards:

Federal agency personnel responsible for cultural resource management pursuant to Section 110 of the National Historic Preservation Act, as amended, in areas under Federal jurisdiction. A separate series of guidelines advising Federal agencies on their specific historic preservation activities under Section 110 is in preparation.

State Historic Preservation Offices responsible under the National Historic Preservation Act, as amended, for making decisions about the preservation of historic properties in their States in accordance with appropriate regulations and the Historic Preservation Fund Grants Management Manual. The State Historic Preservation Offices serve as the focal point for preservation planning and act as a central state-wide repository of collected information.

Local governments wishing to establish a comprehensive approach to the identification, evaluation, registration and treatment of historic properties within their jurisdictions.

Other individuals and organizations needing basic technical standards and guidelines for historic preservation activities.

**Organization**

This material is organized in three sections: Standards; Guidelines; and recommended technical sources, cited at the end of each set of guidelines. Users of this document are expected to consult the recommended technical sources to obtain guidance in specific cases.

**Review of the Standards and Guidelines**

The Secretary of the Interior's Standards for Rehabilitation have recently undergone extensive review and their guidelines made current after 5 years of field use. Users and other interested parties are encouraged to submit written comments on the utility of these Standards and Guidelines except for the Rehabilitation Standards mentioned above. This edition will be thoroughly reviewed by the National Park Service (including consultation with Federal and State agencies), after the end of its first full year of use and any necessary modifications will be made. Subsequent reviews are anticipated as needed. Comments should be sent to Chief, Interagency Resources Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

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**Secretary of the Interior's Standards for Preservation Planning**

Preservation planning is a process that organizes preservation activities (identification, evaluation, registration and treatment of historic properties) in a logical sequence. The Standards for Planning discuss the relationship among these activities while the remaining activity standards consider how each activity should be carried out. The Professional Qualifications Standards discuss the education and experience required to carry out various activities.

The Standards for Planning outline a process that determines when an area should be examined for historic properties, whether an identified property is significant, and how a significant property should be treated.

Preservation planning is based on the following principles:

—Important historic properties cannot be replaced if they are destroyed. Preservation planning provides for conservative use of these properties, preserving them in place and avoiding harm when possible and altering or destroying properties only when necessary.

—If planning for the preservation of historic properties is to have positive effects, it must begin before the identification of all significant properties has been completed. To make responsible decisions about historic properties, existing information must be used to the maximum extent and new information must be acquired as needed.

—Preservation planning includes public participation. The planning process should provide a forum for open discussion of preservation issues. Public involvement is most meaningful when it is used to assist in defining values of properties and preservation planning issues, rather than when it is limited to review of decisions already made. Early

and continuing public participation is essential to the broad acceptance of preservation planning decisions.

Preservation planning can occur at several levels or scales: in a project area; in a community; in a State as a whole; or in the scattered or contiguous landholdings of a Federal agency. Depending on the scale, the planning process will involve different segments of the public and professional communities and the resulting plans will vary in detail. For example, a State preservation plan will likely have more general recommendations than a plan for a project area or a community. The planning process described in these Standards is flexible enough to be used at all levels while providing a common structure which promotes coordination and minimizes duplication of effort. The Guidelines for Preservation Planning contain additional information about how to integrate various levels of planning.

#### *Standard I. Preservation Planning Establishes Historic Contexts*

Decisions about the identification, evaluation, registration and treatment of historic properties are most reliably made when the relationship of individual properties to other similar properties is understood. Information about historic properties representing aspects of history, architecture, archeology, engineering and culture must be collected and organized to define these relationships. This organizational framework is called a "historic context." The historic context organizes information based on a cultural theme and its geographical and chronological limits. Contexts describe the significant broad patterns of development in an area that may be represented by historic properties. The development of historic contexts is the foundation for decisions about identification, evaluation, registration and treatment of historic properties.

#### *Standard II. Preservation Planning Uses Historic Contexts To Develop Goals and Priorities for the Identification, Evaluation, Registration and Treatment of Historic Properties*

A series of preservation goals is systematically developed for each historic context to ensure that the range of properties representing the important aspects of each historic context is identified, evaluated and treated. Then priorities are set for all goals identified for each historic context. The goals with assigned priorities established for each historic context are integrated to produce a comprehensive and consistent set of goals and priorities for all historic

contexts in the geographical area of a planning effort.

The goals for each historic context may change as new information becomes available. The overall set of goals and priorities are then altered in response to the changes in the goals and priorities for the individual historic contexts.

Activities undertaken to meet the goals must be designed to deliver a usable product within a reasonable period of time. The scope of the activity must be defined so the work can be completed with available budgeted program resources.

#### *Standard III. The Results of Preservation Planning Are Made Available for Integration Into Broader Planning Processes*

Preservation of historic properties is one element of larger planning processes. Planning results, including goals and priorities, information about historic properties, and any planning documents, must be transmitted in a usable form to those responsible for other planning activities. Federally mandated historic preservation planning is most successfully integrated into project management planning at an early stage. Elsewhere, this integration is achieved by making the results of preservation planning available to other governmental planning bodies and to private interests whose activities affect historic properties.

#### *Secretary of the Interior's Guidelines for Preservation Planning*

##### *Introduction*

These Guidelines link the Standards for Preservation Planning with more specific guidance and technical information. They describe one approach to meeting the Standards for Preservation Planning. Agencies, organizations or individuals proposing to approach planning differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

- Managing the Planning Process
- Developing Historic Contexts
- Developing Goals for a Historic Context
- Integrating Individual Historic Contexts—
- Creating the Preservation Plan
- Coordinating with Management Frameworks
- Recommended Sources of Technical Information

##### *Managing the Planning Process*

The preservation planning process must include an explicit approach to implementation, a provision for review and revision of all elements, and a mechanism for resolving conflicts within

the overall set of preservation goals and between this set of goals and other land use planning goals. It is recommended that the process and its products be described in public documents.

##### *Implementing the Process*

The planning process is a continuous cycle. To establish and maintain such a process, however, the process must be divided into manageable segments that can be performed within a defined period, such as a fiscal year or budget cycle. One means of achieving this is to define a period of time during which all the preliminary steps in the planning process will be completed. These preliminary steps would include setting a schedule for subsequent activities.

##### *Review and Revision*

Planning is a dynamic process. It is expected that the content of the historic contexts described in Standard Land the goals and priorities described in Standard II will be altered based on new information obtained as planning proceeds. The incorporation of this information is essential to improve the content of the plan and to keep it up-to-date and useful. New information must be reviewed regularly and systematically, and the plan revised accordingly.

##### *Public Participation*

The success of the preservation planning process depends on how well it solicits and integrates the views of various groups. The planning process is directed first toward resolving conflicts in goals for historic preservation, and second toward resolving conflicts between historic preservation goals and other land-use planning goals. Public participation is integral to this approach and includes at least the following actions:

1. Involving historians, architectural historians, archeologists, historical architects, folklorists and persons from related discipline to define, review and revise the historic contexts, goals and priorities;
2. Involving interested individuals, organizations and communities in the planning area in identifying the kinds of historic properties that may exist and suitable protective measures;
3. Involving prospective users of the preservation plan in defining issues, goals and priorities;
4. Providing for coordination with other planning efforts at local, state, regional and national levels, as appropriate; and

creating mechanisms for identifying and resolving conflicts about historic preservation issues.

The development of historic contexts, for example, should be based on the professional input of all disciplines involved in preservation and not be limited to a single discipline. For prehistoric archeology, for example, data from fields such as geology, geomorphology and geography may also be needed. The individuals and organizations to be involved will depend, in part, on those present or interested in the planning area.

#### *Documents Resulting from the Planning Process*

In most cases, the planning process produces documents that explain how the process works and that discuss the historic contexts and related goals and priorities. While the process can operate in the absence of these documents, planning documents are important because they are the most effective means of communicating the process and its recommendations to others. Planning documents also record decisions about historic properties.

As various parts of the planning process are reviewed and revised to reflect current information, related documents must also be updated. Planning documents should be created in a form that can be easily revised. It is also recommended that the format, language and organization of any documents or other materials (visual aids, etc.) containing preservation planning information meet the needs of prospective users.

#### *Developing Historic Contexts*

##### *General Approach*

Available information about historic properties must be divided into manageable units before it can be useful for planning purposes. Major decisions about identifying, evaluating, registering and treating historic properties are most reliably made in the context of other related properties. A historic context is an organizational format that groups information about related historic properties, based on a theme, geographic limits and chronological period. A single historic context describes one or more aspects of the historic development of an area, considering history, architecture, archeology, engineering and culture; and identifies the significant patterns that individual historic properties represent, for example, Coal Mining in Northeastern Pennsylvania between 1860 and 1930. A set of historic contexts

is a comprehensive summary of all aspects of the history of the area.

The historic context is the cornerstone of the planning process. The goal of preservation planning is to identify, evaluate, register and treat the full range of properties representing each historic context, rather than only one or two types of properties. Identification activities are organized to ensure that research and survey activities include properties representing all aspects of the historic context. Evaluation uses the historic context as the framework within which to apply the criteria for evaluation to specific properties or property types. Decisions about treatment of properties are made with the goal of treating the range of properties in the context. The use of historic contexts in organizing major preservation activities ensures that those activities result in the preservation of the wide variety of properties that represent our history, rather than only a small, biased sample of properties.

Historic contexts, as theoretical constructs, are linked to actual historic properties through the concept of property type. Property types permit the development of plans for identification, evaluation and treatment even in the absence of complete knowledge of individual properties. Like the historic context, property types are artificial constructs which may be revised as necessary.

Historic contexts can be developed at a variety of scales appropriate for local, State and regional planning. Given the probability of historic contexts overlapping in an area, it is important to coordinate the development and use of contexts at all levels. Generally, the State Historic Preservation Office possesses the most complete body of information about historic properties and, in practice, is in the best position to perform this function.

The development of historic contexts generally results in documents that describe the prehistoric processes or patterns that define the context. Each of the contexts selected should be developed to the point of identifying important property types to be useful in later preservation decision-making. The amount of detail included in these summaries will vary depending on the level (local, state, regional, or national) at which the contexts are developed and on their intended uses. For most planning purposes, a synopsis of the written description of the historic context is sufficient.

##### *Creating a Historic Context*

Generally, historic contexts should not be constructed so broadly as to

include all property types under a single historic context or so narrowly as to contain only one property type per historic context. The following procedures should be followed in creating a historic context.

##### *1. Identify the concept, time period and geographical limits for the historic context*

Existing information, concepts, theories, models and descriptions should be used as the basis for defining historic contexts. Biases in primary and secondary sources should be identified and accounted for when existing information is used in defining historic contexts.

The identification and description of historic contexts should incorporate contributions from all disciplines involved in historic preservation. The chronological period and geographical area of each historic context should be defined after the conceptual basis is established. However, there may be exceptions, especially in defining prehistoric contexts where drainage systems or physiographic regions often are outlined first. The geographical boundaries for historic contexts should not be based upon contemporary political, project or other contemporary boundaries if those boundaries do not coincide with historical boundaries. For example, boundaries for prehistoric contexts will have little relationship to contemporary city, county or state boundaries.

##### *2. Assemble the existing information about the historic context*

*a. Collecting information:* Several kinds of information are needed to construct a preservation plan. Information about the history of the area encompassed by the historic context must be collected, including any information about historic properties that have already been identified. Existing survey or inventory entries are an important source of information about historic properties. Other sources may include literature on prehistory, history, architecture and the environment; social and environmental impact assessments; county and State land use plans; architectural and folklife studies and oral histories; ethnographic research; State historic inventories and registers; technical reports prepared for Section 106 or other assessments of historic properties; and direct consultation with individuals and organized groups.

In addition, organizations and groups that may have important roles in defining historic contexts and values

should be identified. In most cases a range of knowledgeable professionals drawn from the preservation, planning and academic communities will be available to assist in defining contexts and in identifying sources of information. In other cases, however, development of historic contexts may occur in areas whose history or prehistory has not been extensively studied. In these situations, broad general historic contexts should be initially identified using available literature and expertise, with the expectation that the contexts will be revised and subdivided in the future as primary source research and field survey are conducted. It is also important to identify such sources of information as existing planning data, which is needed to establish goals for identification, evaluation, and treatment, and to identify factors that will affect attainment of those goals.

The same approach for obtaining information is not necessarily desirable for all historic contexts. Information should not be gathered without first considering its relative importance to the historic context, the cost and time involved, and the expertise required to obtain it. In many cases, for example, published sources may be used in writing initial definitions of historic contexts; archival research or field work may be needed for subsequent activities.

**b. Assessing information:** All information should be reviewed to identify bias in historic perspective, methodological approach, or area of coverage. For example, field surveys for archeological sites may have ignored historic archeological sites, or county land use plans may have emphasized only development goals.

### 3. Synthesize information

The information collection and analysis results in a written narrative of the historic context. This narrative provides a detailed synthesis of the data that have been collected and analyzed. The narrative covers the history of the area from the chosen perspective and identifies important patterns, events, persons or cultural values. In the process of identifying the important patterns, one should consider:

- Trends in area settlement and development, if relevant;
- Aesthetic and artistic values embodied in architecture, construction technology or craftsmanship;
- Research values or problems relevant to the historic context; social and physical sciences and humanities; and cultural interests of local communities; and

d. Intangible cultural values of ethnic groups and native American peoples.

### 4. Define property types

A property type is a grouping of individual properties based on shared physical or associative characteristics. Property types link the ideas incorporated in the theoretical historic context with actual historic properties that illustrate those ideas. Property types defined for each historic context should be directly related to the conceptual basis of the historic context. Property types defined for the historic context "Coal Mining in Northeastern Pennsylvania, 1860-1930" might include coal extraction and processing complexes; railroad and canal transportation systems; commercial districts; mine workers' housing; churches, social clubs and other community facilities reflecting the ethnic origins of workers; and residences and other properties associated with mine owners and other industrialists.

**a. Identify property types:** The narrative should discuss the kinds of properties expected within the geographical limits of the context and group them into those property types most useful in representing important historic trends.

Generally, property types should be defined after the historic context has been defined. Property types in common usage ("Queen Anne houses," "mill buildings" or "stratified sites") should not be adopted without first verifying their relevance to the historic contexts being used.

### b. Characterize the locational patterns of property types

Generalizations about where particular types of properties are likely to be found can serve as a guide for identification and treatment. Generalizations about the distribution of archeological properties are frequently used. The distribution of other historic properties often can be estimated based on recognizable historical, environmental or cultural factors that determined their location. Locational patterns of property types should be based upon models that have an explicit theoretical or historical basis and can be tested in the field. The model may be the product of historical research and analysis ("Prior to widespread use of steam power, mills were located on rivers and streams able to produce water power" or "plantation houses in the Mississippi Black Belt were located on sandy clay knolls"), or it may result from sampling techniques. Often the results of statistically valid sample surveys can be used to describe the locational patterns of a representative portion of properties

belonging to a particular property type. Other surveys can also provide a basis for suggesting locational patterns if a diversity of historic properties was recorded and a variety of environmental zones was inspected. It is likely that the identification of locational patterns will come from a combination of these sources. Expected or predicted locational patterns of property types should be developed with a provision made for their verification.

**c. Characterize the current condition of property types:** The expected condition of property types should be evaluated to assist in the development of identification, evaluation and treatment strategies, and to help define physical integrity thresholds for various property types. The following should be assessed for each property type:

(1) Inherent characteristics of a property type that either contribute to or detract from its physical preservation. For example, a property type commonly constructed of fragile materials is more likely to be deteriorated than a property type constructed of durable materials; structures whose historic function or design limits the potential for alternative uses (water towers) are less likely to be reused than structures whose design allows a wider variety of other uses (commercial buildings or warehouses).

(2) Aspects of the social and natural environment that may affect the preservation or visibility of the property type. For example, community values placed on certain types of properties (churches, historic cemeteries) may result in their maintenance while the need to reuse valuable materials may stimulate the disappearance of properties like abandoned houses and barns.

It may be most efficient to estimate of the condition of property types based on professional knowledge of existing properties and field test these estimates using a small sample of properties representative of each type.

### 5. Identify information needs

Filling gaps in information is an important element of the preservation plan designed for each historic context. Statements of the information needed should be as specific as possible, focusing on the information needed, the historic context and property types it applies to, and why the information is needed to perform identification, evaluation, or treatment activities.

### Developing Goals for a Historic Context Developing Goals

A goal is a statement of preferred preservation activities, which is

generally stated in terms of property

purpose of establishing preservation goals is to set forth a "best case" version of how properties in the historic context should be identified, evaluated, registered and treated. Preservation goals should be oriented toward the greatest possible protection of properties in the historic context and should be based on the principle that properties should be preserved in place if possible, through affirmative treatments like rehabilitation, stabilization or restoration. Generally, goals will be specific to the historic context and will often be phrased in terms of property types. Some of these goals will be related to information needs previously identified for the historic context. Collectively, the goals for a historic context should be a coherent statement of program direction covering all aspects of the context.

For each goal, a statement should be prepared identifying:

1. The goal, including the context and property types to which the goal applies and the geographical area in which they are located;

2. The activities required to achieve goal;

The most appropriate methods or strategies for carrying out the activities;

3. A schedule within which the activities should be completed; and

5. The amount of effort required to accomplish the goal, as well as a way to evaluate progress toward its accomplishment.

#### Setting priorities for goals

Once goals have been developed they need to be ranked in importance. Ranking involves examining each goal in light of a number of factors.

1. General social, economic, political and environmental conditions and trends affecting (positively and negatively) the identification, evaluation, registration and treatment of property types in the historic context.

Some property types in the historic context may be more directly threatened by deterioration, land development patterns, contemporary use patterns, or public perceptions of their value, and such property types should be given priority consideration.

2. Major cost or technical considerations affecting the identification, evaluation and treatment of property types in the historic context.

The identification or treatment of some property types may be technically possible but the cost prohibitive; or techniques may not currently be perfected (for example, the identification of submerged sites or objects, or the

evaluation of sites containing material for which dating techniques are still being developed).

3. Identification, evaluation, registration and treatment activities previously carried out for property types in the historic context.

If a number of properties representing one aspect of a historic context have been recorded or preserved, treatment of additional members of that property type may receive lower priority than treatment of a property type for which no examples have yet been recorded or preserved. This approach ensures that the focus of recording or preserving all elements of the historic context is retained, rather than limiting activities to preserving properties representing only some aspects of the context.

The result of considering the goals in light of these concerns will be a list of refined goals ranked in order of priority.

#### Integrating Individual Contexts—Creating the Preservation Plan

When historic contexts overlap geographically, competing goals and priorities must be integrated for effective preservation planning. The ranking of goals for each historic context must be reconciled to ensure that recommendations for one context do not contradict those for another. This important step results in an overall set of priorities for several historic contexts and a list of the activities to be performed to achieve the ranked goals. When applied to a specific geographical area, this is the preservation plan for that area.

It is expected that in many instances historic contexts will overlap geographically. Overlapping contexts are likely to occur in two combinations—those that were defined at the same scale (i.e., textile development in Smithtown 1850–1910 and Civil War in Smithtown 1855–1870) and those defined at different scales (i.e., Civil War in Smithtown and Civil War in the Shenandoah Valley). The contexts may share the same property types, although the shared property types will probably have different levels of importance, or they may group the same properties into different property types, reflecting either a different scale of analysis or a different historical perspective.

As previously noted, many of the goals that are formulated for a historic context will focus on the property types defined for that context. Thus it is critical that the integration of goals include the explicit consideration of the potential for shared property type membership by individual properties. For example, when the same property

types are used by two contexts, reconciling the goals will require weighing the level of importance assigned to each property type. The degree to which integration of historic contexts must involve reconciling property types may be limited by the coordinated development of historic contexts used at various levels.

#### Integration with Management Frameworks

Preservation goals and priorities are adapted to land units through integration with other planning concerns. This integration must involve the resolution of conflicts that arise when competing resources occupy the same land base. Successful resolution of these conflicts can often be achieved through judicious combination of inventory, evaluation and treatment activities. Since historic properties are irreplaceable, these activities should be heavily weighted to discourage the destruction of significant properties and to be compatible with the primary land use.

#### Recommended Sources of Technical Information

*Resource Protection Planning Process.* State and Plans Grants Division, 1980. Washington, D.C. Available from Survey and Planning Branch, Interagency Resources Division, National Park Service, Department of the Interior, Washington, D.C. 20240. Outlines a step-by-step approach to implementing the resource protection planning process.

*Resource Protection Planning Process Case Studies.* Available from Survey and Planning Branch, Interagency Resources Division, National Park Service, Department of the Interior, Washington, D.C. 20240. Reports prepared by State Historic Preservation Offices and other using the planning process.

*Planning Theory.* Andreas Faludi, 1980. Oxford: Pergamon Press. Constructs a model of planning using concepts borrowed from general systems theory.

#### SECRETARY OF THE INTERIOR'S STANDARDS FOR IDENTIFICATION

Identification activities are undertaken to gather information about historic properties in an area. The scope of these activities will depend on: existing knowledge about properties; goals for survey activities developed in the planning process; and current management needs.

#### Standard 1. Identification of Historic Properties Is Undertaken to the Degree Required To Make Decisions

Archival research and survey activities should be designed to gather the information necessary to achieve defined preservation goals. The



objectives, chosen methods and techniques, and expected results of the identification activities are specified in a research design. These activities may include archival research and other techniques to develop historic contexts, sampling an area to gain a broad understanding of the kinds of properties it contains, or examining every property in an area as a basis for property specific decisions. Where possible, use of quantitative methods is important because it can produce an estimate, whose reliability may be assessed, of the kinds of historic properties that may be present in the studied area. Identification activities should use a search procedure consistent with the management needs for information and the character of the area to be investigated. Careful selection of methods, techniques and level of detail is necessary so that the gathered information will provide a sound basis for making decisions.

*Standard II. Results of Identification Activities are Integrated Into the Preservation Planning Process*

Results of identification activities are reviewed for their effects on previous planning data. Archival research or field survey may refine the understanding of one or more historic contexts and may alter the need for additional survey or study of particular property types. Incorporation of the results of these activities into the planning process is necessary to ensure that the planning process is always based on the best available information.

*Standard III. Identification Activities Include Explicit Procedures for Record-Keeping and Information Distribution*

Information gathered in identification activities is useful in other preservation planning activities only when it is systematically gathered and recorded, and made available to those responsible for preservation planning. The results of identification activities should be reported in a format that summarizes the design and methods of the survey, provides a basis for others to review the results, and states where information on identified properties is maintained. However, sensitive information, like the location of fragile resources, must be safeguarded from general public distribution.

*Secretary of the Interior's Guidelines for Identification*

*Introduction*

These Guidelines link the Standards for Identification with more specific guidance and technical information. The

Guidelines outline one approach to meet the Standards for Identification. Agencies, organizations and individuals proposing to approach identification differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

*Role of Identification in the Planning Process*

Performing Identification  
Integrating Identification Results  
Reporting Identification Results  
Recommended Sources of Technical Information

*Role of Identification in the Planning Process*

Identification is undertaken for the purpose of locating historic properties and is composed of a number of activities which include, but are not limited to archival research, informant interviews, field survey and analysis. Combinations of these activities may be selected and appropriate levels of effort assigned to produce a flexible series of options. Generally identification activities will have multiple objectives, reflecting complex management needs. Within a comprehensive planning process, identification is normally undertaken to acquire property-specific information needed to refine a particular historic context or to develop any new historic contexts. (See the Guidelines for Preservation Planning for discussion of information gathering to establish plans and to develop historic contexts.) The results of identification activities are then integrated into the planning process so that subsequent activities are based on the most up-to-date information. Identification activities are also undertaken in the absence of a comprehensive planning process, most frequently as part of a specific land-use or development project. Even lacking a formally developed preservation planning process, the benefits of efficient, goal-directed research may be obtained by the development of localized historic contexts, suitable in scale for the project area, as part of the background research which customarily occurs before field survey efforts.

*Performing Identification*

*Research Design*

Identification activities are essentially research activities for which a statement of objectives or research design should be prepared before work is performed. Within the framework of a comprehensive planning process, the research design provides a vehicle for integrating the various activities performed during the identification

process and for linking those activities directly to the goals and the historic context(s) for which those goals were defined. The research design stipulates the logical integration of historic context(s) and field and laboratory methodology. Although these tasks may be performed individually, they will not contribute to the greatest extent possible in increasing information on the historic context unless they relate to the defined goals and to each other. Additionally, the research design provides a focus for the integration of interdisciplinary information. It ensures that the linkages between specialized activities are real, logical and address the defined research questions. Identification activities should be guided by the research design and the results discussed in those terms. (See Reporting Identification Results)

The research design should include the following:

1. *Objectives* of the identification activities. For example: to characterize the range of historic properties in a region; to identify the number of properties associated with a context; to gather information to determine which properties in an area are significant.

The statement of objectives should refer to current knowledge about the historic contexts or property types, based on background research or assessments of previous research. It should clearly define the physical extent of the area to be investigated and the amount and kinds of information to be gathered about properties in the area.

2. *Methods* to be used to obtain the information. For example: archival research or field survey. Research methods should be clearly and specifically related to research problems.

Archival research or survey methods should be carefully explained so that others using the gathered information can understand how the information was obtained and what its possible limitations or biases are.

The methods should be compatible with the past and present environmental character of the geographical area under study and the kinds of properties most likely to be present in the area.

3. *The expected results* and the reasons for those expectations.

Expectations about the kind, number, location, character and condition of historic properties are generally based on a combination of background research, proposed hypotheses, an analogy to the kinds of properties known to exist in areas of similar environment or history.

## Archival Research

Archival or background research is generally undertaken prior to any field survey. Where identification is undertaken as part of a comprehensive planning process, background research may have taken place as part of the development of the historic contexts (see the Guidelines for Preservation Planning). In the absence of previously developed historic contexts, archival research should address specific issues and topics. It should not duplicate previous work. Sources should include, but not be limited to, historical maps, atlases, tax records, photographs, ethnographies, folklife documentation, oral histories and other studies, as well as standard historical reference works, as appropriate for the research problem. (See the Guidelines for Historical Documentation for additional discussion.)

## Field Survey

The variety of field survey techniques available, in combination with the varying levels of effort that may be assigned, give great flexibility to implementing field surveys. It is important that the selection of field survey techniques and level of effort be responsive to the management needs and preservation goals that direct the survey effort.

Survey techniques may be loosely grouped into two categories, according to their results. First are the techniques that result in the characterization of a region's historic properties. Such techniques might include "windshield" or walk-over surveys, with perhaps a limited use of sub-surface survey. For purposes of these Guidelines, this kind of survey is termed a "reconnaissance." The second category of survey techniques is those that permit the identification and description of specific historic properties in an area; this kind of survey effort is termed "intensive." The terms "reconnaissance" and "intensive" are sometimes defined to mean particular survey techniques, generally with regard to prehistoric sites. The use of the terms here is general and is not intended to redefine the terms as they are used elsewhere.

*Reconnaissance survey* might be most profitably employed when gathering data to refine a developed historic context—such as checking on the presence or absence of expected property types, to define specific property types or to estimate the distribution of historic properties in an area. The results of regional characterization activities provide a general understanding of the historic

properties in a particular area and permit management decisions that consider the sensitivity of the area in terms of historic preservation concerns and the resulting implications for future land use planning. The data should allow the formulation of estimates of the necessity, type and cost of further identification work and the setting of priorities for the individual tasks involved. In most cases, areas surveyed in this way will require resurvey if more complete information is needed about specific properties.

A reconnaissance survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including the extent of survey coverage;
4. The kinds of historic properties present in the surveyed area;
5. Specific properties that were identified, and the categories of information collected; and
6. Places examined that did not contain historic properties.

*Intensive survey* is most useful when it is necessary to know precisely what historic properties exist in a given area or when information sufficient for later evaluation and treatment decisions is needed on individual historic properties. Intensive survey describes the distribution of properties in an area; determines the number, location, and condition of properties; determines the types of properties actually present within the area; permits classification of individual properties; and records the physical extent of specific properties.

An intensive survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including an estimate of the extent of survey coverage;
4. A record of the precise location of all properties identified; and
5. Information on the appearance, significance, integrity and boundaries of each property sufficient to permit an evaluation of its significance.

## Sampling

Reconnaissance or intensive survey methods may be employed according to a sampling procedure to examine less-than-the-total project or planning area.

Sampling can be effective when several locations are being considered for an undertaking or when it is desirable to estimate the cultural resources of an area. In many cases, especially where large land areas are involved, sampling can be done in stages. In this approach, the results of

the initial large area survey are used to structure successively smaller, more detailed surveys. This "nesting" approach is an efficient technique since it enables characterization of both large and small areas with reduced effort. As with all investigative techniques, such procedures should be designed to permit an independent assessment of results.

Various types of sample surveys can be conducted, including, but not limited to: random, stratified and systematic. Selection of sample type should be guided by the problem the survey is expected to solve, the nature of the expected properties and the nature of the area to be surveyed.

Sample surveys may provide data to estimate frequencies of properties and types of properties within a specified area at various confidence levels. Selection of confidence levels should be based upon the nature of the problem the sample survey is designed to address.

Predictive modeling is an application of basic sampling techniques that projects or extrapolates the number, classes and frequencies of properties in unsurveyed areas based on those found in surveyed areas. Predictive modeling can be an effective tool during the early stages of planning an undertaking, for targeting field survey and for other management purposes. However, the accuracy of the model must be verified; predictions should be confirmed through field testing and the model redesigned and retested if necessary.

## Special survey techniques

Special survey techniques may be needed in certain situations.

Remote sensing techniques may be the most effective way to gather background environmental data, plan more detailed field investigations, discover certain classes of properties, map sites, locate and confirm the presence of predicted sites, and define features within properties. Remote sensing techniques include aerial, subsurface and underwater techniques. Ordinarily the results of remote sensing should be verified through independent field inspection before making any evaluation or statement regarding frequencies or types of properties.

## Integrating Identification Results

The results of identification efforts must be integrated into the planning process so that planning decisions are based on the best available information. The new information is first assessed against the objectives of the identification effort to determine whether the gathered information meets



the defined identification goals for the historic context(s); then the goals are adjusted accordingly. In addition, the historic context narrative, the definition of property types and the planning goals for evaluation and treatment are all adjusted as necessary to accommodate the new data.

#### Reporting Identification Results

Reporting of the results of identification activities should begin with the statement of objectives prepared before undertaking the survey. The report should respond to each of the major points documenting:

1. Objectives;
2. Area researched or surveyed;
3. Research design or statement of objectives;
4. Methods used, including the intensity of coverage. If the methods differ from those outlined in the statement of objectives, the reasons should be explained.
5. Results: how the results met the objectives; result analysis, implications and recommendations; where the compiled information is located.

A summary of the survey results should be available for examination and distribution. Identified properties should then be evaluated for possible inclusion in appropriate inventories.

Protection of information about archeological sites or other properties that may be threatened by dissemination of that information is necessary. These may include fragile archeological properties or properties such as religious sites, structures, or objects, whose cultural value would be compromised by public knowledge of the property's location.

#### Recommended Sources of Technical Information

*The Archeological Survey: Methods and Uses.* Thomas F. King. Interagency Archeological Services, U.S. Department of the Interior, 1978. Washington, D.C. Available through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. GPO stock number 024-016-00091. Written primarily for the non-archeologist, this publication presents methods and objectives for archeological surveys.

*Cultural Resources Evaluation of the Northern Gulf of Mexico Continental Shelf.* National Park Service, U.S. Department of the Interior, 1977.

*Guidelines for Local Surveys: A Basis for Preservation Planning.* Anne Derry, H. Ward Jandl, Carol Shull and Jan Thorman. National Register Division, U.S. Department of the Interior, 1978. Washington, D.C. Available through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. GPO stock number 024-016-0089-7. General guidance about

designing and carrying out community surveys.

*The Process of Field Research: Final Report on the Blue Ridge Parkway Folklife Project.* American Folklife Center, 1981.

*Regional Sampling in Archeology.* David Hurst Thomas. University of California. Archeological Survey Annual Report, 1968-9, 11:87-100.

*Remote Sensing: A Handbook for Archeologists and Cultural Resource Managers.* Thomas R. Lyons and Thomas Eugene Avery. Cultural Resource Management Division, National Park Service, U.S. Department of the Interior, 1977.

*Remote Sensing and Non-Destructive Archeology.* Thomas R. Lyons and James L. Ebert, editors. Remote Sensing Division, Southwest Cultural Resources Center, National Park Service, U.S. Department of the Interior and University of New Mexico, 1978.

*Remote Sensing Experiments in Cultural Resource Studies: Non-Destructive Methods of Archeological Exploration, Survey and Analysis.* Thomas R. Lyons, assembler. reports of the Chaco Center, Number One. National Park Service, U.S. Department of the Interior and University of New Mexico, 1978.

*Sampling in Archeology.* James W. Mueller, editor. University of Arizona Press, 1975. Tucson, Arizona.

*Scholars as Contractors.* William J. Mayer-Oakes and Alice W. Portnoy, editors. Cultural Resource Management Studies, U.S. Department of the Interior, 1979.

*Sedimentary Studies of Prehistoric Archeological Sites.* Sherwood Gagliano, Charles Pearson, Richard Weinstein, Diana Wiseman, and Christopher McClelland. Division of State Plans and Grants, National Park Service, U.S. Department of the Interior, 1982. Washington, D.C. Available from Coastal Environments Inc., 1280 Main Street, Baton Rouge, Louisiana 70802. Establishes and evaluates a method for employing sedimentological analysis in distinguishing site areas from non-site areas when identifying submerged archeological sites on the continental shelf.

*State Survey Forms.* Available from Interagency Resource Management Division, National Park Service, Department of the Interior, Washington, D.C. 20240. Characterizes cultural resource survey documentation methods in State Historic Preservation Offices.

*Truss Bridge Types: A Guide to Dating and Identifying.* Donald C. Jackson and T. Allan Comp. American Association for State and Local History, 1977. Nashville, Tennessee. Technical leaflet #95. Available from AASLH, 708 Berry Road, Nashville, Tennessee 37204. Information about performing surveys of historic bridges and identifying the types of properties encountered.

#### Secretary of the Interior's Standards for Evaluation

Evaluation is the process of determining whether identified properties meet defined criteria of significance and therefore should be included in an inventory of historic properties determined to meet the

criteria. The criteria employed vary depending on the inventory's use in resource management.

#### Standard I. Evaluation of the Significance of Historic Properties Uses Established Criteria

The evaluation of historic properties employs criteria to determine which properties are significant. Criteria should therefore focus on historical, architectural, archeological, engineering and cultural values, rather than on treatments. A statement of the minimum information necessary to evaluate properties against the criteria should be provided to direct information gathering activities.

Because the National Register of Historic Places is a major focus of preservation activities on the Federal, State and local levels, the National Register criteria have been widely adopted not only as required for Federal purposes, but for State and local inventories as well. The National Historic Landmark criteria and other criteria used for inclusion of properties in State historic site files are other examples of criteria with different management purposes.

#### Standard II. Evaluation of Significance Applies the Criteria Within Historic Contexts

Properties are evaluated using a historic context that identifies the significant patterns that properties represent and defines expected property types against which individual properties may be compared. Within this comparative framework, the criteria for evaluation take on particular meaning with regard to individual properties.

#### Standard III. Evaluation Results in A List or Inventory of Significant Properties That Is Consulted In Assigning Registration and Treatment Priorities

The evaluation process and the subsequent development of an inventory of significant properties is an on-going activity. Evaluation of the significance of a property should be completed before registration is considered and before preservation treatments are selected. The inventory entries should contain sufficient information for subsequent activities such as registration or treatment of properties, including an evaluation statement that makes clear the significance of the property within one or more historic contexts.

### Standard IV. Evaluation Results Are Made Available to the Public

Evaluation is the basis of registration and treatment decisions. Information about evaluation decisions should be organized and available for use by the general public and by those who take part in decisions about registration and treatment. Use of appropriate computer-assisted data bases should be a part of the information dissemination effort. Sensitive information, however, must be safeguarded from general public distribution.

### Secretary of the Interior's Guidelines for Evaluation

#### Introduction

These Guidelines link the Standards for Evaluation with more specific guidance and technical information. These Guidelines describe one approach to meeting the Standards for Evaluation. Agencies, organizations, or individuals proposing to approach evaluation differently may wish to review their approach with the National Park Service.

The Guidelines are organized as follows:

- The Evaluation Process
- Criteria
- Application of Criteria within a Historic Context
- Inventory
- Recommended Sources of Technical Information

#### The Evaluation Process

These Guidelines describe principles for evaluating the significance of one or more historic properties with regard to a given set of criteria.

Groups of related properties should be evaluated at the same time whenever possible; for example, following completion of a theme study or community survey.

Evaluation should not be undertaken using documentation that may be out of date. Prior to proceeding with evaluation the current condition of the property should be determined and previous analyses evaluated in light of any new information.

Evaluation must be performed by persons qualified by education, training and experience in the application of the criteria. Where feasible, evaluation should be performed in consultation with other individuals experienced in applying the relevant criteria in the geographical area under consideration; for example, the State Historic Preservation Officer or local landmarks commission.

Evaluation is completed with a written determination that a property is

or is not significant based on provided information. This statement should be part of the record.

**Criteria:** The purposes of evaluation criteria should be made clear. For example, the criteria may be used "to evaluate properties for inclusion in the county landmarks list" or "to implement the National Register of Historic Places program."

For Federal cultural resource management purposes, criteria used to develop an inventory should be coordinated with the National Register criteria for evaluation as implemented in the approved State comprehensive historic preservation plan.

**Content of Criteria:** Criteria should be appropriate in scale to the purpose of the evaluation. For example, criteria designed to describe national significance should not be used as the basis for creating a county or State inventory. Criteria should be categorical and not attempt to describe in detail every property likely to qualify. Criteria should outline the disciplines or broad areas of concern (history, archeology, architectural history, engineering and culture, for example) included within the scope of the inventory, explain what kinds of properties, if any, are excluded and the reasons for exclusion; and define how levels of significance are measured, if such levels are incorporated into the criteria. If the criteria are to be used in situations where the National Register criteria are also widely used, it is valuable to include a statement explaining the relationship of the criteria used to the National Register criteria, including how the scope of the inventory differs from that defined by the National Register criteria and how the inventory could be used to identify properties that meet the National Register criteria.

**Information Needed to Evaluate Properties:** The criteria should be accompanied by a statement defining the minimum information necessary to evaluate properties to insure that this information is collected during identification activities intended to locate specific historic properties. Generally, at least the following will be needed:

1. Adequately developed historic contexts, including identified property types. (See the Guidelines for Preservation Planning for discussion of development of historic contexts.)
2. Sufficient information about the appearance, condition and associative values of the property to be evaluated to:

- a. Classify it as to property type;

- b. Compare its features or characteristics with those expected for its property type; and

- c. Define the physical extent of the property and accurately locate the property.

To facilitate distinguishing between facts and analysis, the information should be divided into categories, including identification and description of pertinent historical context; description of the property and its significance in the historical context; and analysis of the integrity of the property relative to that needed to represent the context.

Usually documentation need not include such items as a complete title-history or biography of every owner of a property, except where that information is important in evaluating its significance. Information on proposed or potential treatments or threats, such as destruction of a property through uncontrollable natural processes, is also not needed for evaluation, unless those effects are likely to occur prior to or during the evaluation, thereby altering the significant characteristic of the property. If archeological testing or structural analysis is needed for evaluation, it should not proceed beyond the point of providing the information necessary for evaluation and should not unnecessarily affect significant features or values of the property.

When more information is needed: Evaluation cannot be conducted unless all necessary information is available. (See Information Needed to Evaluate Properties.) Any missing information or analysis should be identified (e.g. development of context or information on the property) as well as the specific activities required to obtain the information (archival research, field survey and testing, or laboratory testing). When adequate information is not available, it is important to record that fact so that evaluation will not be undertaken until the information can be obtained. In some cases needed information is not obtainable, for example, where historical records have been destroyed or analytical techniques have not been developed to date materials in archeological sites. If an evaluation must be completed in these cases, it is important to acknowledge what information was not obtainable and how that missing information may affect the reliability of the evaluation.

#### Application of the Criteria within a Historic Context

The first step in evaluation is considering how the criteria apply to the

particular historic context. This is done by reviewing the previously developed narrative for the historic context and determining how the criteria would apply to properties in that context, based on the important patterns, events, persons and cultural values identified. (See the discussion of the historic context narrative in the Guidelines for Preservation Planning.) This step includes identification of which criteria each property type might meet and how integrity is to be evaluated for each property type under each criterion. Specific guidelines for evaluating the eligibility of individual properties should be established. These guidelines should outline and justify the specific physical characteristics or data requirements that an individual property must possess to retain integrity for the particular property type, and define the process by which revisions or additions can be made to the evaluation framework.

**Consideration of property type and integrity.** After considering how the criteria apply to the particular historic context, the evaluation process for a property generally includes the following steps:

1. A property is classified as to the appropriate historic context(s) and property type(s). If no existing property type is appropriate, a new property type is defined, its values identified, and the specific characteristics or data requirements are outlined and justified as an addition to the historic context. If necessary, a new historic context is defined for which values and property types and their integrity requirements are identified and justified.

2. A comparison is made between the existing information about the property and the integrity characteristics or data required for the property type.

- a. If the comparison shows that the property possesses these characteristics, then it is evaluated as significant for that historic context. The evaluation includes a determination that the property retains integrity for its type.

- b. If the comparison shows that the property does not meet the minimum requirements, one of several conclusions is reached:

- (1) The property is determined not significant because it does not retain the integrity defined for the property type.

- (2) The property has characteristics that may make it significant but these differ from those expected for that property type in that context. In this case, the historic context or property types should be reexamined and revised if necessary, based on subsequent research and survey.

The evaluation should state how the particular property meets the integrity

requirements for its type. When a property is disqualified for loss of integrity, the evaluation statement should focus on the kinds of integrity expected for the property type, those that are absent for the disqualified property, and the impact of that absence on the property's ability to exemplify architectural, historical or research values within a particular historic context.

The integrity of the property in its current condition, rather than its likely condition after a proposed treatment, should be evaluated. Factors such as structural problems, deterioration, or abandonment should be considered in the evaluation only if they have affected the integrity of the significant features or characteristics of the property.

#### *Inventory*

An inventory is a repository of information on specific properties evaluated as significant.

**Content:** The inventory should include:

1. Summaries of the important historic contexts. These may be in the form of an approved plan or analyses of historic contexts important in the history of the geographical area covered by the inventory.

2. Descriptions of significant property types of these contexts, whether or not any specific properties have been identified.

3. Results of reconnaissance surveys or other identification activities, even if the level of information on specific properties identified as part of those activities is not sufficient to evaluate individual properties.

4. Information on individual properties that was used in evaluation.

Historic contexts are identified by name, with reference to documents describing those contexts, or with a narrative statement about the context(s) where such documents do not exist.

A description of the property. Part of this description may be a photographic record.

A statement that justifies the significance of the property in relation to its context(s). This statement should include an analysis of the integrity of the property.

Boundaries of the property.

A record of when a property was evaluated and included in the inventory, and by whom.

Records on demolished or altered properties and properties evaluated as not significant should be retained, along with full description of areas surveyed, for the planning information these records provide about impacts to properties and about the location and

character of non-significant properties to prevent redundant identification work at a later time.

**Maintenance:** Inventory entries should be maintained so that they accurately represent what is known about historic properties in the area covered by the inventory. This will include new information gained from research and survey about the historic contexts, property types, and previously evaluated properties, as well as information about newly evaluated properties. For individual properties, addition of kinds of significance, change in the boundaries, or loss of significance through demolition or alteration should be recorded.

**Uses and Availability:** An inventory should be managed so that the information is accessible. Its usefulness depends on the organization of information and on its ability to incorporate new information. An inventory should be structured so that entries can be retrieved by locality or by historic context.

The availability of the inventory information should be announced or a summary should be distributed. This may be in the form of a list of properties evaluated as significant or a summary of the historic contexts and the kinds of properties in the inventory. Inventory should be available to managers, planners, and the general public at local, State, regional, and Federal agency levels.

It is necessary to protect information about archeological sites or other properties whose integrity may be damaged by widespread knowledge of their location. It may also be necessary to protect information on the location of properties such as religious sites, structures, or objects whose cultural value would be compromised by public knowledge of the property's location.

#### *Recommended Sources of Technical Information*

**How to Apply the National Register Criteria.** Available through the National Register Branch, Interagency Resources Division, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240. Provides detailed technical information about interpretation of the significance and integrity criteria used by the National Register of Historic Places program.

**How To Series.** Available through the National Register Branch, Interagency Resources Division, National Park Service, U.S. Department of the Interior, Washington, D.C. 20240. Discusses application of the National Register criteria for evaluation. Titles include:

How To Establish Boundaries for National Register Properties.  
How To Evaluate and Nominate Potential National Register Properties That Have Achieved Significance Within the Last 50 Years.

How To Improve Quality of Photos for National Register Nominations.  
How To Apply for Certification of Significance Under Section 2124 of the Tax Reform Act of 1976.

How To Apply for Certification of State and Local Statutes and Historic Districts.

How To Quality Historic Properties Under the New Federal Law Affective Easements.

*Importance of Small, Surface, and Disturbed Sites as Sources of Significant Archeological Data.* Valerie Talmage and Olga Chesler. Interagency Archeological Service 1977. Washington, D.C. Available from the National Technical Information Service. NTIS Publication Number PB 270939/AS. Discusses the role of small, surface, and disturbed sites as sources of significant information about a variety of prehistoric activities. These types of sites are frequently ignored in the development of regional archeological research designs.

#### Secretary of the Interior's Standards For Registration

Registration is the formal recognition of properties evaluated as significant. Preservation benefits provided by various registration programs range from honorific recognition to prohibition of demolition or alteration of included properties. Some registration programs provide recognition and other broad benefits while other programs authorize more specific forms of protection.

#### Standard I. Registration Is Conducted According To Stated Procedures

Registration of historic properties in the National Register of Historic Places must be done in accordance with the National Register regulations published in the Code of Federal Regulations, 38 CFR 60. Registration for other lists or purposes follow an established process that is understood by the public, particularly by those interests that may be affected by registration.

#### Standard II. Registration Information Locates, Describes and Justifies the Significance and Physical Integrity of a Historic Property

Registers are used for planning, research and treatment. They must contain adequate information for users to locate a property and understand its significance. Additional information

may be appropriate depending on the intended use of the register.

#### Standard III: Registration Information is Accessible to the Public

Information should be readily available to the public and to government agencies responsible for the preservation of historic properties and for other planning needs.

#### Secretary of the Interior's Guidelines for Registration

##### Introduction

These Guidelines link the Standards for Registration with more specific guidance and technical information. They describe one approach to meeting the Standards for Registration. Agencies, organizations, or individuals proposing to approach registration differently may wish to review their approach with the National Park Service.

The Guidelines are organized as follows:

Purpose of Registration Programs  
Registration Procedures  
Documentation on Registered Properties  
Public Availability  
Recommended Sources of Technical Information

##### Purpose of Registration Programs

Registration of historic properties is the formal recognition of properties that have been evaluated as significant according to written criteria. Registration results in an official inventory or list that serves an administrative function. A variety of benefits or forms of protection accrue to a registered property, ranging from honorific recognition to prohibition of demolition or alteration.

Some registration programs provide recognition and other broad benefits or entitlements, while other registrations of properties may, in addition, authorize more specific forms of protection. The application of the registration process should be a logical outgrowth of the same planning goals and priorities that guided the identification and evaluation activities. All registration programs should establish priorities for recognition of their authorized range of properties; provide for confidentiality of sensitive information; and establish a means of appealing the registration or non-registration of a property.

##### Registration Procedures

Explicit procedures are essential because they are the means by which the public can understand and participate in the registration process. Procedures for registration programs should be developed by professionals in

the field of historic preservation, in consultation with those who will use or be affected by the program. Prior to taking effect, procedures should be published or circulated for comment at the governmental level at which they will be used. (Procedures for registration of properties in the National Register of Historic Places and the National Historic Landmarks list, for example, are published in the Federal Register.)

Any registration program should include:

1. A professional staff to prepare or assess the documentation;
2. A professional review, independent of the nominating source, to provide an impartial evaluation of the documented significance;
3. Adequate notice to property owners, elected officials and the public about proposed registrations and the effects of listing, if any; and
4. A means of public participation.

**Professional Review:** The registration process should include an independent evaluation of the significance of the property and of the quality and thoroughness of the documentation supporting that significance. Such evaluation ensures that significance is adequately justified and that registration documentation meets the technical requirements of the registration process.

**State and local preservation programs,** concerned with both public and private properties, generally use a review board, panel or commission. This level of professional review has proven to be effective in assessing the significance of properties considered for registration.

**Review boards and other forms of independent review** should include professionals in the fields or disciplines included in the criteria; representatives of other fields or disciplines may be desirable to reflect other values or aspects of the register. Key personnel must be qualified by education, training or experience to accomplish their designated duties. (See the Professional Qualifications Standards.)

The scope of the independent review should be clearly stated in the registration procedures and should not include issues outside the scope of the applicable criteria for evaluation and other areas specified in the procedures. Generally, independent reviewers should not be involved in any primary research or analysis related to properties under consideration; this information should be gathered and organized prior to review meetings. Documentation presented to the reviewers should be made available to

the public prior to review meetings or public hearings. Registration of properties should not take place until review of documentation has been completed.

**Public Notice:** Adequate notice allows property owners, officials and other interested parties to comment on proposed registrations prior to action by the independent reviewers. The degree of protection and control provided by a registration program may be a factor in determining what constitutes adequate notice. For example, adequate notice of proposed inclusion in honorific registers may be less complex than that for registration that results in local controls on alteration or demolition of registered properties.

Notice to elected officials and the public is necessary to distribute information about potential registrations of concern to planning and development interests.

Adequate notice to property owners may be accomplished through means ranging from individual notification by mail to publication of a public notice, depending on the nature of the registration program and the number and character of the properties involved.

Public notices and owner notification about proposed registrations should include the dates and times of public meetings and review meetings, the kinds of comments that are appropriate, and how comments will be considered in the evaluation process. The notice should also state where information can be obtained about the registration program, the criteria used to evaluate properties for inclusion, and the significance of specific properties under consideration.

The procedures should include a means of public participation in the form of submission of written comments or a review meeting open to the public or a public hearing.

The procedures should state time periods within which reviews, notices, comments, public hearings, review meetings and appeals will occur. The time periods should be short enough to allow for efficient recognition of historic properties but also allow adequate time for public comment and participation by those affected. Time periods may vary depending on whether activities are carried out at the local, State, or national level. These time schedules should be widely circulated so that the process is widely understood.

**Appeal Process:** A means of appeal should be included in the registration process to allow for reconsideration of a property's inclusion. Reasons for appeal may range from existence of additional information about the property supporting or refuting its significance to

administrative or procedural error. An appeal process should specify to whom an appeal may be made and how the information that is provided will be evaluated. The appeal procedures should also state the time limit, if any, on appealing a decision and on consideration of information and issuance of a decision by the appeal authority.

#### *Documentation on Registered Properties*

Documentation requirements should be carefully weighed to provide the information *actually* needed to reach a registration decision and should be made public. It should be made certain that identification and evaluation activities obtain and record the information necessary for registration. Documentation should be prepared in a standardized format and on materials that are archivally stable and easy to store and retrieve.

**Location:** The precise location of a historic property must be clearly identified.

Street address, town or vicinity, and county should be provided. Properties should also be located on maps; these may be USGS maps, county planning maps, or city base maps or real estate maps. A uniform system of noting location, such as UTM grid points or longitude and latitude, should supplement mapping. It is recommended that each registration process standardize the preferred choice of maps appropriate to the scope of the process.

**Description:** An accurate description of a property includes a description of both the current and historical physical appearance and condition of the property and notes the relevant property type(s) for the applicable historic context(s). Discussion should include alterations, deterioration, relocation and other changes to the property since its period of significance.

**Significance:** A statement of significance should explain why a property meets the criteria for inclusion in the register to which it has been nominated.

This statement should contain at least 3 elements:

1. Reference to the relevant historic context(s);
2. Identification of relevant property types within the context and their characteristics; and
3. Justification that the property under consideration has the characteristics required to qualify it.

Relevant historic contexts can be identified through reference to the preservation plan or other documents where the contexts have been

previously described or can be provided by a narrative discussion of the context. (The development of contexts and their use in evaluating properties are discussed in the Guidelines for Preservation Planning and the Guidelines for Evaluation.) A significant property type and its characteristics are identified either through reference to the historic context(s) or by a narrative in the documentation that describes historic contexts. Justification of a specific property is made by systematic comparison of its characteristics to those required for the property type.

**Boundaries:** The delineation and justification of boundaries for a registered property are important for future treatment activities. It is especially critical when legal restraints or restrictions may result from the registration of properties. Thus, boundaries should correspond as closely as possible to the actual extent and configuration of the property and should be carefully selected to encompass, but not exceed, the extent of the significant resource(s). The selection of boundaries should reflect the significant aspects of the property.

Arbitrary boundaries should not be chosen for ease of description since this can result in the inclusion of unrelated land or in exclusion of a portion of the historic property. Present property boundaries should not be chosen as property boundaries without careful analysis of whether they are appropriate to the historic property. A single uniform boundary description and acreage should not be applied to a group or class of properties (antebellum plantations, for example) without examination of the actual extent of each property. The selected boundaries should be justified as appropriate to the historic property.

Boundaries should be clearly and precisely described, using a verbal boundary description, legal description, accurate sketch map, or lines drawn on base maps, or a combination of these where needed to specify the limits of the property being registered. When used, maps should show the location of buildings, structures, sites or objects within the boundary.

**Updating Information on Registered Properties:** A change in the condition of the significant features of a property may require a change in the official registration record. Alteration of a significant architectural feature, for example, could mean that a property no longer significant for its architectural design.

Additional significance of registered properties may be identified through development of new historic contexts



Search may reveal that a property is significant in other historic contexts or is significant at a higher level. For example, a property previously recognized as of local significance could be found to be of national significance.

A change in location or condition of a registered property may mean that the property is no longer significant for the reasons for which it was registered and the property should be deleted from the registered list.

#### *Public Availability*

Lists of registered properties should be readily available for public use, and information on registered properties should be distributed on a regular basis. Lists of properties registered nationally are distributed through publication in the *Federal Register* and to Congressional Offices and State Historic Preservation Offices. Comprehensive information should be stored and maintained for public use at designated national, State and local authorities open to the public on a regular basis.

Information should be retrievable by the property name, and location, historic context or property type. The specific location of properties that may be threatened by dissemination of that information must be withheld. These may include fragile archeological properties or properties such as religious sites, structures, or objects whose cultural value would be compromised by public knowledge of the property location.

#### *Recommended Sources of Technical Information*

*How to Complete National Register Forms.* National Register Division, National Park Service, U.S. Department of the Interior, 1977. Washington, D.C. Available through the Superintendent of Documents, US Government Printing Office, Washington, D.C. 20402. GPO Stock Number 024-005-00666-4. This publication is the standard reference on the documentation requirements of the National Register of Historic Places program.

*How To Series.* Available through the National Register Branch, Interagency Resources Division, National Park Service, Department of the Interior 20240. These information sheets contain supplementary information about interpreting the National Register criteria for evaluation and documentation requirements of the National Register registration program. Title include: How To Establish Boundaries for National Register Properties.

How To Evaluate and Nominate Potential National Register Properties That Have Achieved Significance Within the Last 50 Years.

How To Improve the Quality of Photographs for National Register Nominations.

How To Apply for Certification of Significance Under Section 2124 of the Tax Reform Act of 1978.

How To Apply for Certification of State and Local Statutes and Historic Districts.

How To Qualify Historic Properties Under the New Federal Law Affecting Easements.

#### *Note on Documentation and Treatment of Historic Properties*

Documentation and treatment of historic properties includes a variety of techniques to preserve or protect properties, or to document their historic values and information. While documentation activities may be applied to any potentially historic property, generally only those properties that first have been evaluated as significant against specified criteria (such as those of the National Register) are treated. Some commonly applied treatments are preservation in place, rehabilitation, restoration and stabilization; there are other types of treatments also. Documentation and treatment may be applied to the same property; for example, archeological, historical, and architectural documentation may be prepared before a structure is stabilized or before foundations or chimneys or other lost features are reconstructed.

Alternatives for treatment will usually be available, and care should be applied in choosing among them. Preservation in place is generally preferable to moving a property. Over time, the preferred treatment for a property may change; for example, an archeological site intended for preservation in place may begin to erode so that a combination of archeological documentation and stabilization may be required. If a decision is made that a particular property will not be preserved in place, the need for documentation must then be considered.

The three sets of documentation standards (i.e., the Standards for Historical Documentation, Standards for Architectural and Engineering Documentation, and Standards for Archeological Documentation) as well as the Standards for Historic Preservation Projects (Acquisition, Preservation, Stabilization, Protection, Rehabilitation, Restoration, and Reconstruction) describe the techniques of several disciplines to treat historic properties, and to document or preserve information about their historical values. The integration of planning for documentation and treatment with their execution is accomplished in a statement of objectives, or research design. Because both the goals and appropriate methodologies are likely to be interdisciplinary in nature, the relationship among these various

activities should be specified in the research design to ensure that the resulting documentation produces a comprehensive record of historic properties in an efficient manner.

#### *Secretary of the Interior's Standards for Historical Documentation*

Historical documentation provides important information related to the significance of a property for use by historians, researchers, preservationists, architects, and historical archeologists. Research is used early in planning to gather information needed to identify and evaluate properties. (These activities are discussed in the Standards and Guidelines for Preservation Planning and the Standards and Guidelines for Identification.) Historical documentation is also a treatment that can be applied in several ways to properties previously evaluated as significant; it may be used in conjunction with other treatment activities (as the basis for rehabilitation plans or interpretive programs, for example) or as a final treatment to preserve information in cases of threatened property destruction. These Standards concern the use of research and documentation as a treatment.

#### *Standard I. Historical Documentation Follows a Research Design That Responds to Needs Identified in the Planning Process*

Historical documentation is undertaken to make a detailed record of the significance of a property for research and interpretive purposes and for conservation of information in cases of threatened property destruction. Documentation must have defined objectives so that proposed work may be assessed to determine whether the resulting documentation will meet needs identified in the planning process. The research design or statement of objectives is a formal statement of how the needs identified in the plan are to be addressed in a specific documentation project. This is the framework that guides the selection of methods and evaluation of results, and specifies the relationship of the historical documentation efforts to other proposed treatment activities.

#### *Standards II. Historical Documentation Employs an Appropriate Methodology to Obtain the Information Required by The Research Design*

Methods and techniques of historical research should be chosen to obtain needed information in the most efficient way. Techniques should be carefully selected and the sources should be

recorded so that other researchers can verify or locate information discovered during the research.

*Standard III. The Results of Historical Documentation Are Assessed Against the Research Design and Integrated Into the Planning Process*

Documentation is one product of research; information gathered about the usefulness of the research design itself is another. The research results are assessed against the research design to determine how well they meet the objectives of the research. The results are integrated into the body of current knowledge and reviewed for their implications for the planning process. The research design is reviewed to determine how future research designs might be modified based on the activity conducted.

*Standard IV. The Results of Historical Documentation Are Reported and Made Available to the Public.*

Research results must be accessible to prospective users. Results should be communicated to the professional community and the public in reports summarizing the documentation activity and identifying the repository of additional detailed information. The goal of disseminating information must be balanced, however, with the need to protect sensitive information whose disclosure might result in damage to properties.

*Secretary of the Interior's Guidelines for Historical Documentation*

*Introduction*

These Guidelines link the Standards for Historical Documentation with more specific guidance and technical information. They describe one approach to meeting the Standards for Historical Documentation. Agencies, organizations or individuals proposing to approach historical documentation differently may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

- Historical Documentation Objectives
- Research Design
- Methods
- Integrating Results
- Reporting Results
- Recommended Sources of Technical Information

*Documentation Objectives*

Documentation is a detailed record, in the form of a report or other written document, of the historical context(s) and significance of a property. Historical research to create

documentation uses archival materials, oral history techniques, ethnohistories, prior research contained in secondary sources and other sources to make a detailed record of previously identified values or to investigate particular questions about the established significance of a property or properties. It is an investigative technique that may be employed to document associative, architectural, cultural or informational values of properties. It may be used as a component of structural recording or archeological investigation, to enable interpretation or to mitigate the anticipated loss of a property through conservation of information about its historical, architectural or archeological significance. Documentation generally results in both greater factual knowledge about the specific property and its values, and in better understanding of the property in its historical context. In addition to increasing factual knowledge about a property and its significance in one historical context, documentation may also serve to link the property to or define its importance in other known or yet-to-be defined historic contexts.

Documentation should incorporate, rather than duplicate, the findings of previous research. Research may be undertaken to identify how a particular property fits into the work of an architect or builder; to analyze the historical relationship among several properties; or to document in greater detail the historical contexts of properties. The kinds of questions investigated will generally depend on what is already known or understood and what information is needed. For example, documentation of a bridge whose technological significance is well understood, but whose role in local transportation history is not, would summarize the information on the former topic and focus research on the associative values of the property. The questions that research seeks to answer through deed, map or archival search, oral history and other techniques may also relate to issues addressed in structural documentation or archeological investigation; for example, the reasons for and history of modification of a building to be the subject of architectural or engineering documentation.

*Research Design*

Historical documentation is guided by a statement of objectives, research design or task directive prepared before research is performed. The research design is a useful statement of how proposed work will enhance existing archival data and permits comparison of

the proposed work with the results. The purpose of the research design is to define the proposed scope of the documentation work and to define a set of expectations based on the information available prior to the research. Generally, the research design also ensures that research methods are commensurate with the type, quality and source of expected information.

The research design for a property should identify:

1. Evaluated significance of the property(ies) to be investigated;
2. Historical, architectural, archeological or cultural issues relevant to the evaluated significance of the property;
3. Previous research on those issues and how the proposed work is related to existing knowledge;
4. The amount and kinds of information required to produce reliable historical analyses;
5. Methods to be used to obtain the information;
6. Types of sources to be investigated; types of personnel required;
7. Expected results or findings based on available knowledge about the property and its context; and
8. Relationship of the proposed historical documentation to other proposed treatment activities; for example, recommendations on the use of documentation in interpretive programs or other aspects of treatment such as anticipated architectural, engineering or archeological documentation).

*Research Methods*

Research methods should be chosen based on the information needs, be capable of replication and be recorded so that another researcher could follow the same research procedure. Sources should be recorded so that other researchers can locate or verify the information discovered during the search.

Use of Sources: The variety of available written and graphic materials and the number of individuals that can serve as sources, including but not limited to personal records, deed and title books, newspapers, plats, maps, atlases, photographs, vital records, censuses, historical narratives, interviews of individuals and secondary source materials, should be considered in developing the research design. Part of the development of the research design is deciding what kinds of source materials are most likely to contain needed information and at what point in the research process that information will be most valuable. For example,

Secondary sources are most useful for gathering background information, while primary sources are more useful to gather or confirm specific facts. The documentation goals may not require exhaustive investigation of sources, such as deed records or building permits. Research may be kept cost-effective by making careful decisions about when to use particular sources, thereby limiting the use of time-consuming techniques to when absolutely necessary. Decisions about when to gather information may also affect the quality of information that can be gathered. When dealing with large project areas where loss of many properties is anticipated, it is important to gather information from local archival sources and oral histories before project activities destroy or disperse family or community records and residents.

Analysis of the accuracy and biases of source materials is critical in analyzing the information gathered from these sources. Maps, historical atlases and insurance maps should be assessed like written records for errors, biases and omissions; for example, some map sources may omit structures of a temporary nature or may not fully depict ethnic or minority areas. Likewise, zoning plans and architectural drawings may not reflect a structure as it was actually built.

**Analysis:** Analysis should not only focus on the issues defined in the research design, but should also explore major new issues identified during the course of research or analysis. The documentation gathered may raise important issues not previously considered, and further investigation may be important, particularly when contradictory information has been gathered. It is important to examine the implications of these new issues to ensure that they are investigated in a balanced way.

Questions that should be considered in analyzing the information include:

1. Has enough information been gathered to answer the questions that were posed?
2. Do the answers contradict one another? If so, it may be necessary to search for more evidence. If no additional evidence is available, judgements must be based on the available sources, weighing their biases. Conflicts of source materials should be noted.
3. In general, the more the researcher knows about the general historical period and setting, and limitations of the source materials under investigation, the better the individual is prepared to

evaluate the information found in the documentary sources investigated. Peer review or consultation with other knowledgeable individuals about the information and the tentative conclusions can be an important part of the analysis.

#### *Integrating Results*

The results of documentation must be integrated into the planning process so that planning decisions are based on the best available information. The new information is first assessed against the research design to determine whether the gathered information meets the defined objectives of the research. Then the relevant historic contexts, property types, and treatment goals for those contexts are all adjusted, as necessary, based on the historical documentation results.

#### *Reporting Results*

##### *Reports should contain:*

1. Summaries of the purpose of the documentation, the research design and methods and techniques of investigation.
2. Sources of facts or analyses so that other researchers can locate the information in its original context. Notation of any conflicts in source materials and how the individual performing the documentation interpreted these conflicts.
3. Sources consulted, including those expected to contain useful information and those that contained no information about the property(s).
4. Assessment of the accuracy, biases and historical perspective of all sources. This information and that identified in No. 3 may be provided in an annotated bibliography.
5. Discussion of major analyses and results, including conclusions regarding all major research issues identified in the research design, as well as important issues raised in the course of research. The analysis should be summarized in terms of its impact on interpreting the property's significance and expanding or altering the knowledge about the property and its context.
6. Researchers' interpretation of historical events or trends. These interpretations should be clearly identified.
7. Primary results should be preserved and made accessible in some manner, although they need not necessarily be contained in the report. At a minimum, the report should reference the location of notes and analyses.
8. Results of historical documentation should be made available for use in

preservation planning and by the general public. Report formats may vary, depending on the audience and the anticipated uses of the documentation, but professionally accepted rules of report writing should be followed. If reports are of a technical nature, the format of the major scientific journal of the pertinent discipline may be the most appropriate format. Peer review of draft reports is one means of ensuring that state-of-the-art technical reports are produced.

#### *Recommended Sources of Technical Information*

*Folklife and Fieldwork: A Layman's Introduction to Field Techniques.* Peter Bartis. American Folklife Center. Washington, D.C., 1979.

*Ordinary People and Everyday Life: Perspectives on the New Social History.* James B. Gardnee and George Rolfe Adams, editors. American Association for State and Local History, Nashville, Tennessee, 1983.

*The Process of Field Research.* Carl Fleischhauer and Charles K. Wolfe. American Folklife Center, Washington, D.C., 1981.

*Researching Heritage Buildings.* Margaret Carter. Ministry of the Environment, Ottawa, Canada, 1983.

#### *Secretary of the Interior's Standards for Architectural and Engineering Documentation*

These standards concern the development of documentation for historic buildings, sites, structures and objects. This documentation, which usually consists of measured drawings, photographs and written data, provides important information on a property's significance for use by scholars, researchers, preservationists, architects, engineers and others interested in preserving and understanding historic properties. Documentation permits accurate repair or reconstruction of parts of a property, records existing conditions for easements, or may preserve information about a property that is to be demolished.

These Standards are intended for use in developing documentation to be included in the Historic American Building Survey (HABS) and the Historic American Engineering Record (HAER) Collections in the Library of Congress. HABS/HAER, in the National Park Service, have defined specific requirements for meeting these Standards for their collections. The HABS/HAER requirements include information important to development of documentation for other purposes such as State or local archives.



**Standard I. Documentation Shall Adequately Explicate and Illustrate What is Significant or Valuable About the Historic Building, Site, Structure or Object Being Documented.**

The historic significance of the building, site, structure or object identified in the evaluation process should be conveyed by the drawings, photographs and other materials that comprise documentation. The historical, architectural, engineering or cultural values of the property together with the purpose of the documentation activity determine the level and methods of documentation. Documentation prepared for submission to the Library of Congress must meet the HABS/HAER Guidelines.

**Standard II. Documentation Shall be Prepared Accurately From Reliable Sources With Limitations Clearly Stated to Permit Independent Verification of the Information.**

The purpose of documentation is to preserve an accurate record of historic properties that can be used in research and other preservation activities. To serve these purposes, the documentation must include information that permits assessment of its reliability.

**Standard III. Documentation Shall be Prepared on Materials That are Readily Reproducible, Durable and in Standard Sizes.**

The size and quality of documentation materials are important factors in the preservation of information for future use. Selection of materials should be based on the length of time expected for storage, the anticipated frequency of use and a size convenient for storage.

**Standard IV. Documentation Shall be Clearly and Concisely Produced.**

In order for documentation to be useful for future research, written materials must be legible and understandable, and graphic materials must contain scale information and location references.

**Secretary of the Interior's Guidelines for Architectural and Engineering Documentation**

**Introduction**

These Guidelines link the Standards for Architectural and Engineering Documentation with more specific guidance and technical information. They describe one approach to meeting the Standards for Architectural Engineering Documentation. Agencies, organizations or individuals proposing to approach documentation differently

may wish to review their approaches with the National Park Service.

The Guidelines are organized as follows:

Definitions  
Goal of Documentation  
The HABS/HAER Collections  
Standard I: Content  
Standard II: Quality  
Standard III: Materials  
Standard IV: Presentation  
Architectural and Engineering Documentation Prepared for Other Purposes  
Recommended Sources of Technical Information

**Definitions**

These definitions are used in conjunction with these Guidelines:

Architectural Data Form—a one page HABS form intended to provide identifying information for accompanying HABS documentation.

Documentation—measured drawings, photographs, histories, inventory cards or other media that depict historic buildings, sites, structures or objects.

Field Photography—photography, other than large-format photography, intended for the purpose of producing documentation, usually 35mm.

Field Records—notes of measurements taken, field photographs and other recorded information intended for the purpose of producing documentation.

Inventory Card—a one page form which includes written data, a sketched site plan and a 35mm contact print dry-mounted on the form. The negative, with a separate contact sheet and index should be included with the inventory card.

Large Format Photographs—photographs taken of historic buildings, sites, structures or objects where the negative is a 4 X 5", 5 X 7" or 8 X 10" size and where the photograph is taken with appropriate means to correct perspective distortion.

Measured Drawings—drawings produced on HABS or HAER formats depicting existing conditions or other relevant features of historic buildings, sites, structures or objects. Measured drawings are usually produced in ink on archivally stable material, such as mylar.

Photocopy—A photograph, with large-format negative, of a photograph or drawing.

Select Existing Drawings—drawings of historic buildings, sites, structures or objects, whether original construction or later alteration drawings that portray or depict the historic value or significance.

Sketch Plan—a floor plan, generally not to exact scale although often drawn from measurements, where the features

are shown in proper relation and proportion to one another.

**Goal of Documentation**

The Historic American Buildings Survey (HABS) and Historic American Engineering Record (HAER) are the national historical architectural and engineering documentation programs of the National Park Service that promote documentation incorporated into the HABS/HAER collections in the Library of Congress. The goal of the collections is to provide architects, engineers, scholars, and interested members of the public with comprehensive documentation of buildings, sites, structures and objects significant in American history and the growth and development of the built environment.

The HABS/HAER Collections: HABS/HAER documentation usually consists of measured drawings, photographs and written data that provide a detailed record which reflects a property's significance. Measured drawings and properly executed photographs act as a form of insurance against fires and natural disasters by permitting the repair and, if necessary, reconstruction of historic structures damaged by such disasters. Documentation is used to provide the basis for enforcing preservation easement. In addition, documentation is often the last means of preservation of a property; when a property is to be demolished, its documentation provides future researchers access to valuable information that otherwise would be lost.

HABS/HAER documentation is developed in a number of ways. First and most usually, the National Park Service employs summer teams of student architects, engineers, historians and architectural historians to develop HABS/HAER documentation under the supervision of National Park Service professionals. Second, the National Park Service produces HABS/HAER documentation, in conjunction with restoration or other preservation treatment, of historic buildings managed by the National Park Service. Third, Federal agencies, pursuant to Section 110(b) of the National Historic Preservation Act, as amended, record those historic properties to be demolished or substantially altered as a result of agency action or assisted action (referred to as mitigation projects). Fourth, individuals and organizations prepare documentation, HABS/HAER standards and donate the documentation to the HABS/HAER collections. For each of these programs

## Interim Documentation Levels will be

The Standards describe the fundamental principles of HABS/HAER documentation. They are supplemented by other material describing more specific guidelines, such as line weights for drawings, preferred techniques for architectural photography, and formats for written data. This technical information is found in the HABS/HAER Procedures Manual.

These Guidelines include important information about developing documentation for State or local archives. The State Historic Preservation Officer or the State Library should be consulted regarding archival requirements if the documentation will become part of their collections. In establishing archives, the important questions of durability and reproducibility should be considered in relation to the purposes of the collection.

Documentation prepared for the purpose of inclusion in the HABS/HAER collections must meet the requirements below. The HABS/HAER office of the National Park Service retains the right to refuse to accept documentation for inclusion in the HABS/HAER collections when that documentation does not meet HABS/HAER requirements as specified below.

### Standard I: Content

1. **Requirement:** Documentation shall adequately explicate and illustrate what is significant or valuable about the historic building, site, structure or object being documented.

2. **Criteria:** Documentation shall meet one of the following documentation levels to be considered adequate for inclusion in the HABS/HAER collections.

#### a. Documentation Level I:

(1) Drawings: a full set of measured drawings depicting existing or historic conditions.

(2) Photographs: photographs with large-format negatives of exterior and interior views; photocopies with large format negatives of select existing drawings or historic views where available.

(3) Written data: history and description.

#### b. Documentation Level II:

(1) Drawings: select existing drawings, where available, should be photographed with large-format negatives or photographically reproduced on mylar.

(2) Photographs: photographs with large-format negatives of exterior and interior views, or historic views, where available.

(3) Written data: history and description.

#### c. Documentation Level III:

(1) Drawings: sketch plan.

(2) Photographs: photographs with large-format negatives of exterior and interior views.

(3) Written data: architectural data form.

#### d. Documentation Level IV: HABS/HAER inventory card.

3. **Test:** Inspection of the documentation by HABS/HAER staff.

4. **Commentary:** The HABS/HAER office retains the right to refuse to accept any documentation on buildings, site, structures or objects lacking historical significance. Generally, buildings, sites, structures or objects must be listed in, or eligible for listing in, the National Register of Historic Places to be considered for inclusion in the HABS/HAER collections.

The kind and amount of documentation should be appropriate to the nature and significance of the buildings, site, structure or object being documented. For example, Documentation Level I would be inappropriate for a building that is a minor element of a historic district, notable only for streetscape context and scale. A full set of measured drawings for such a minor building would be expensive and would add little, if any, information to the HABS/HAER collections. Large format photography (Documentation Level III) would usually be adequate to record the significance of this type of building.

Similarly, the aspect of the property that is being documented should reflect the nature and significance of the building, site, structure or object being documented. For example, measured drawings of Dankmar Adler and Louis Sullivan's Auditorium Building in Chicago should indicate not only facades, floor plans and sections, but also the innovative structural and mechanical systems that were incorporated in that building. Large format photography of Gunston Hall in Fairfax County, Virginia, to take another example, should clearly show William Buckland's hand-carved moldings in the Palladian Room, as well as other views.

HABS/HAER documentation is usually in the form of measured drawings, photographs, and written data. While the criteria in this section have addressed only these media, documentation need not be limited to them. Other media, such as films of industrial processes, can and have been used to document historic buildings, sites, structures or objects. If other media are to be used, the HABS/HAER

office should be contacted before recording.

The actual selection of the appropriate documentation level will vary, as discussed above. For mitigation documentation projects, this level will be selected by the National Park Service Regional Office and communicated to the agency responsible for completing the documentation. Generally, Level I documentation is required for nationally significant buildings and structures, defined as National Historic Landmarks and the primary historic units of the National Park Service.

On occasion, factors other than significance will dictate the selection of another level of documentation. For example, if a rehabilitation of a property is planned, the owner may wish to have a full set of as-built drawings, even though the significance may indicate Level II documentation.

HABS Level I measured drawings usually depict existing conditions through the use of a site plan, floor plans, elevations, sections and construction details. HAER Level I measured drawings will frequently depict original conditions where adequate historical material exists, so as to illustrate manufacturing or engineering processes.

Level II documentation differs from Level I by substituting copies of existing drawings, either original or alteration drawings, for recently executed measured drawings. If this is done, the drawings must meet HABS/HAER requirements outlined below. While existing drawings are rarely as suitable as as-built drawings, they are adequate in many cases for documentation purposes. Only when the desirability of having as-built drawings is clear are Level I measured drawings required in addition to existing drawings. If existing drawings are housed in an accessible collection and cared for archivally, their reproduction for HABS/HAER may not be necessary. In other cases, Level I measured drawings are required in the absence of existing drawings.

Level III documentation requires a sketch plan if it helps to explain the structure. The architectural data form should supplement the photographs by explaining what is not readily visible.

Level IV documentation consists of completed HABS/HAER inventory cards. This level of documentation, unlike the other three levels, is rarely considered adequate documentation for the HABS/HAER collections but is undertaken to identify historic resources in a given area prior to additional, more comprehensive documentation.

**Standard II: Quality**

1. *Requirement:* HABS and HAER documentation shall be prepared accurately from reliable sources with limitations clearly stated to permit independent verification of information.

2. *Criteria:* For all levels of documentation, the following quality standards shall be met:

a. *Measured drawings:* Measured drawings shall be produced from recorded, accurate measurements. Portions of the building that were not accessible for measurement should not be drawn on the measured drawings, but clearly labeled as not accessible or drawn from available construction drawings and other sources and so identified. No part of the measured drawings shall be produced from hypothesis or non-measurement related activities. Documentation Level I measured drawings shall be accompanied by a set of field notebooks in which the measurements were first recorded. Other drawings, prepared for Documentation Levels II and III, shall include a statement describing where the original drawings are located.

b. *Large format photographs:* Large format photographs shall clearly depict the appearance of the property and areas of significance of the recorded building, site, structure or object. Each view shall be perspective-corrected and fully captioned.

c. *Written history:* Written history and description for Documentation Levels I and II shall be based on primary sources to the greatest extent possible. For Levels III and IV, secondary sources may provide adequate information; if not, primary research will be necessary. A frank assessment of the reliability and limitations of sources shall be included. Within the written history, statements shall be footnoted as to their sources, where appropriate. The written data shall include a methodology section specifying name of researcher, date of research, sources searched, and limitations of the project.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

4. *Commentary:* The reliability of the HABS/HAER collections depends on documentation of high quality. Quality is not something that can be easily prescribed or quantified, but it derives from a process in which thoroughness and accuracy play a large part. The principle of independent verification HABS/HAER documentation is critical to the HABS/HAER collections.

**Standard III: Materials**

1. *Requirement:* HABS and HAER documentation shall be prepared on

materials that are readily reproducible for ease of access; durable for long storage; and in standard sizes for ease of handling.

2. *Criteria:* For all levels of documentation, the following material standards shall be met:

a. *Measured Drawings:*

Readily Reproducible: Ink on translucent material.

Durable: Ink on archivally stable materials.

Standard Sizes: Two sizes: 19 × 24" or 24 × 36".

b. *Large Format Photographs:*

Readily Reproducible: Prints shall accompany all negatives.

Durable: Photography must be archivally processed and stored. Negatives are required on safety film only. Resin-coated paper is not accepted. Color photography is not acceptable.

Standard Sizes: Three sizes: 4 × 5", 5 × 7", 8 × 10".

c. *Written History and Description:*

Readily Reproducible: Clean copy for xeroxing.

Durable: Archival bond required. Standard Sizes: 8½ × 11".

d. *Field Records:*

Readily Reproducible: Field notebooks may be xeroxed. Photo identification sheet will accompany 35 mm negatives and contact sheets.

Durable: No requirement.

Standard Sizes: Only requirement is that they can be made to fit into a 9½ × 12" archival folding file.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

4. *Commentary:* All HABS/HAER records are intended for reproduction: some 20,000 HABS/HAER records are reproduced each year by the Library of Congress. Although field records are not intended for quality reproduction, it is intended that they be used to supplement the formal documentation. The basic durability performance standard for HABS/HAER records is 500 years. Ink on mylar is believed to meet this standard, while color photography, for example, does not. Field records do not meet this archival standard, but are maintained in the HABS/HAER collections as a courtesy to the collection user.

**Standard IV: Presentation**

1. *Requirement:* HABS and HAER documentation shall be clearly and concisely produced.

2. *Criteria:* For levels of documentation as indicated below, the following standards for presentation will be used:

a. *Measured Drawings:* Level I measured drawings will be lettered

mechanically (i.e., Leroy or similar) or in a handprinted equivalent style. Adequate dimensions shall be included on all sheets. Level III sketch plans should be neat and orderly.

b. *Large format photographs:* Level I photographs shall include duplicate photographs that include a scale. Level II and III photographs shall include, at a minimum, at least one photograph with a scale, usually of the principal facade.

c. *Written history and description:* Data shall be typewritten on bond, following accepted rules of grammar.

3. *Test:* Inspection of the documentation by HABS/HAER staff.

**Architectural and Engineering Documentation Prepared for Other Purposes**

Where a preservation planning process is in use, architectural and engineering documentation, like other treatment activities, are undertaken to achieve the goals identified by the preservation planning process. Documentation is deliberately selected as a treatment for properties evaluated as significant, and the development of the documentation program for a property follows from the planning objectives. Documentation efforts focus on the significant characteristics of the property, as defined in the previously completed evaluation. The selection of a level of documentation and the documentation techniques (measured drawings, photography, etc.) is based on the significance of the property and the management needs for which the documentation is being performed. For example, the kind and level of documentation required to record a historic property for easement purposes may be less detailed than that required as mitigation prior to destruction of the property. In the former case, essential documentation might be limited to the portions of the property controlled by the easement, for example, exterior facades; while in the latter case, significant interior architectural features and non-visible structural details would also be documented.

The principles and content of the HABS/HAER criteria may be used for guidance in creating documentation requirements for other archives. Levels of documentation and the durability and sizes of documentation may vary depending on the intended use and the repository. Accuracy of documentation should be controlled by assessing the reliability of all sources and making assessment available in the archival record; by describing the limitations of the information available from research and physical examination of the

property; and by retaining the primary data (field measurements and notebooks) from which the archival record was produced. Usefulness of the documentation products depends on preparing the documentation on durable materials that are able to withstand handling and reproduction, and in sizes that can be stored and reproduced without damage.

#### *Recommended Sources of Technical Information*

*Recording Historic Buildings.* Harley J. McKee. Government Printing Office, 1970. Washington, D.C. Available through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. GPO number 024-005-0235-9.

*HABS/HAER Procedures Manual.* Historic American Buildings Survey/Historic American Engineering Record, National Park Service, 1980. Washington, D.C.

*Photogrammetric Recording of Cultural Resources.* Perry E. Borchers. Technical Preservation Services, U.S. Department of the Interior, 1977. Washington, D.C.

*Rectified Photography and Photo Drawings for Historic Preservation.* J. Henry Chambers. Technical Preservation Services, U.S. Department of the Interior, 1973. Washington, D.C.

#### **Secretary of the Interior's Standards for Archeological Documentation**

Archeological documentation is a series of actions applied to properties of archeological interest. Documentation of such properties may occur at any or all levels of planning, identification, evaluation or treatment. The nature and level of documentation is dictated by each specific set of circumstances. Archeological documentation consists of activities such as archival research, observation and recording of above-ground remains, and observation (directly, through excavation, or indirectly, through remote sensing) of below-ground remains. Archeological documentation is employed for the purpose of gathering information on individual historic properties or groups of properties. It is guided by a framework of objectives and methods derived from the planning process, and makes use of previous planning decisions, such as those on evaluation of significance. Archeological documentation may be undertaken as an aid to various treatment activities, including research, interpretation, reconstruction, stabilization and data recovery when mitigating archeological losses resulting from construction. Care should be taken to assure that documentation efforts do not duplicate previous efforts.

#### *Standard I. Archeological Documentation Activities Follow an Explicit Statement of Objectives and Methods That Responds to Needs Identified in the Planning Process*

Archeological research and documentation may be undertaken to fulfill a number of needs, such as overviews and background studies for planning, interpretation or data recovery to mitigate adverse effects. The planning needs are articulated in a statement of objectives to be accomplished by the archeological documentation activities. The statement of objectives guides the selection of methods and techniques of study and provides a comparative framework for evaluating and deciding the relative efficiency of alternatives. Satisfactory documentation involves the use of archeological and historical sources, as well as those of other disciplines. The statement of objectives usually takes the form of a formal and explicit research design which has evolved from the interrelation of planning needs, current knowledge, resource value and logistics.

#### *Standard II. The Methods and Techniques of Archeological Documentation are Selected To Obtain the Information Required by the Statement of Objectives*

The methods and techniques chosen for archeological documentation should be the most effective, least destructive, most efficient and economical means of obtaining the needed information. Methods and techniques should be selected so that the results may be verified if necessary. Non-destructive techniques should be used whenever appropriate. The focus on stated objectives should be maintained throughout the process of study and documentation.

#### *Standard III. The Results of Archeological Documentation are Assessed Against the Statement of Objectives and Integrated Into the Planning Process*

One product of archeological documentation is the recovered data; another is the information gathered about the usefulness of the statement of objectives itself. The recovered data are assessed against the objectives to determine how they meet the specified planning needs. Information related to archeological site types, distribution and density should be integrated in planning at the level of identification and evaluation. Information and data concerning intra-site structure may be needed for developing mitigation strategies and are appropriately

integrated at this level of planning. The results of the data analyses are integrated into the body of current knowledge. The utility of the method of approach and the particular techniques which were used in the investigation (i.e. the research design) should be assessed so that the objectives of future documentation efforts may be modified accordingly.

#### *Standard IV. The Results of Archeological Documentation are Reported and Made Available to the Public*

Results must be accessible to a broad range of users including appropriate agencies, the professional community and the general public. Results should be communicated in reports that summarize the objectives, methods, techniques and results of the documentation activity, and identify the repository of the materials and information so that additional detailed information can be obtained, if necessary. The public may also benefit from the knowledge obtained from archeological documentation through pamphlets, brochures, leaflets, displays and exhibits, or by slide, film or multi-media productions. The goal of disseminating information must be balanced, however, with the need to protect sensitive information whose disclosure might result in damage to properties. Curation arrangements sufficient to preserve artifacts, specimens and records generated by the investigation must be provided for to assure the availability of these materials for future use.

#### **Secretary of the Interior's Guidelines for Archeological Documentation**

##### *Introduction*

These Guidelines link the Standards for Archeological Documentation with more specific guidance and technical information. They describe one approach to meeting the Standards for Documentation. Agencies, organizations or individuals proposing to approach archeological documentation differently may wish to review their approach with the National Park Service.

The Guidelines are organized as follows:

- Archeological Documentation Objectives
- Documentation Plan
- Methods
- Reporting Results
- Curation
- Recommended Sources of Technical Information

1. Collection of base-line data:

2. Problem-oriented research directed toward particular data gaps recognized in the historic context(s);

3. Preservation or illustration of significance which has been identified for treatment by the planning process; or

4. Testing of new investigative or conservation techniques, such as the effect of different actions such as forms of site burial (aqueous or non-aqueous).

Many properties having archeological components have associative values as well as research values. Examples include Native American sacred areas and historic sites such as battlefields. Archeological documentation may preserve information or data that are linked to the identified values that a particular property possesses. Depending on the property type and the range of values represented by the property, it may be necessary to recover information that relates to an aspect of the property's significance other than the specified research questions. It is possible that conflicts may arise between the optimal realizations of research goals and other issues such as the recognition/protection of other types of associative values. The research design for the archeological documentation should provide for methods and procedures to resolve such conflicts, and for the close coordination of the archeological research with the appropriate ethnographic, social or technological research.

#### *Archeological Documentation Objectives*

The term "archeological documentation" is used here to refer specifically to any operation that is performed using archeological techniques as a means to obtain and record evidence about past human activity that is of importance to documenting history and prehistory in the United States. Historic and prehistoric properties may be important for the data they contain, or because of their association with important persons, events, or processes, or because they represent architectural or artistic values, or for other reasons. Archeological documentation may be an appropriate option for application not only to archeological properties, but to above-ground structures as well, and may be used in collaboration with a wide range of other treatment activities.

If a property contains artifacts, features, and other materials that can be studied using archeological techniques, then archeological documentation may be selected to achieve particular goals of the planning process—such as to address a specified information need, or to illustrate significant associative

values. Within the overall goals and priorities established by the planning process, particular methods of investigation are chosen that best suit the types of study to be performed.

Relationship of archeological documentation to other types of documentation or other treatments: Archeological documentation is appropriate for achieving any of various goals, including:

#### *Documentation Plan*

**Research Design:** Archeological documentation can be carried out only after defining explicit goals and a methodology for reaching them. The goals of the documentation effort directly reflect the goals of the preservation plan and the specific needs identified for the relevant historic contexts. In the case of problem oriented archeological research, the plan usually takes the form of a formal research design, and includes, in addition to the items below, explicit statements of the problem to be addressed and the methods or tests to be applied. The purpose of the statement of objectives is to explain the rationale behind the documentation effort to define the scope of the investigation; to identify the methods, techniques, and procedures to be used; to provide a schedule for the activities; and to permit comparison of the proposed research with the results. The research design for an archeological documentation effort follows the same guidelines as those for identification (see the Guidelines for Identification), but has a more property-specific orientation.

The research design should draw upon the preservation plan to identify:

1. Evaluated significance of the property(ies) to be studied;
2. Research problems or other issues relevant to the significance of the property;
3. Prior research on the topic and property type; and how the proposed documentation objectives are related to previous research and existing knowledge;
4. The amount and kinds of information (data) required to address the documentation objectives and to make reliable statements, including at what point information is redundant and documentation efforts have reached a point of diminishing returns;
5. Methods to be used to find the information; and
6. Relationship of the proposed archeological investigation to anticipated historical or structural documentation, or other treatments.

The primary focus of archeological documentation is on the data classes

that are required to address the specified documentation objectives. This may mean that other data classes are deliberately neglected. If so, the reasons for such a decision should be carefully justified in terms of the preservation plan.

Archeological investigations seldom are able to collect and record all possible data. It is essential to determine the point at which further data recovery and documentation fail to improve the usefulness of the archeological information being recovered. One purpose of the research design is to estimate those limits in advance and to suggest at what point information becomes duplicative. Investigation strategies should be selected based on these general principles, considering the following factors:

1. Specific data needs;
2. Time and funds available to secure the data; and
3. Relative cost efficiency of various strategies.

Responsiveness to the concerns of local groups (e.g., Native American groups with ties to specific properties) that was built into survey and evaluation phases of the preservation plan, should be maintained in archeological investigation, since such activity usually involves site disturbance. The research design, in addition to providing for appropriate ethnographic research and consultation, should consider concerns voiced in previous phases. In the absence of previous efforts to coordinate with local or other interested groups, the research design should anticipate the need to initiate appropriate contracts and provide a mechanism for responding to sensitive issues, such as the possible uncovering of human remains or discovery of sacred areas.

The research design facilitates an orderly, goal directed and economical project. However, the research design must be flexible enough to allow for examination of unanticipated but important research opportunities that arise during the investigation.

#### *Documentation Methods*

**Background Review:** Archeological documentation usually is preceded by, or integrated with historical research (i.e. that intensive background information gathering including identification of previous archeological work and inspection of museum collections; gathering relevant data on geology, botany, urban geography and other related disciplines; archival research; informant interviews, or recording of oral tradition, etc.).



Depending on the goals of the archaeological documentation, the background historical and archeological research may exceed the level of research accomplished for development of the relevant historic contexts or for identification and evaluation, and focuses on the unique aspects of the property to be treated. This assists in directing the investigation and locates a broader base of information than that contained in the property itself for response to the documentation goals. This activity is particularly important for historic archeological properties where information sources other than the property itself may be critical to preserving the significant aspects of the property. (See the Secretary of the Interior's Standards and Guidelines for Historical Documentation for discussion of associated research activities.)

**Field Studies:** The implementation of the research design in the field must be flexible enough to accommodate the discovery of new or unexpected data classes or properties, or changing field conditions. A phased approach may be appropriated when dealing with large complex properties or groups of properties, allowing for changes in emphasis or field strategy, or termination of the program, based on analysis of recovered data at the end of each phase. Such an approach permits the confirmation of assumptions concerning property extent, content or organization which had been made based on data gathered from identification and evaluation efforts, or the adjustment of those expectations and resulting changes in procedure. In some cases a phased approach may be necessary to gather sufficient data to calculate the necessary sample size for a statistically valid sample. A phased documentation program may often be most cost-effective, in allowing for early termination of work if the desired objectives cannot be achieved.

Explicit descriptive statements of and justification for field study techniques are important to provide a means of evaluating results. In some cases, especially those employing a sampling strategy in earlier phases (such as identification or evaluation), it is possible to estimate parameters of certain classes of data in a fairly rigorous statistical manner. It is thus desirable to maintain some consistency in choice of sampling designs throughout multiple phases of work at the same property. Consistency with previously employed areal sampling frameworks also improves potential replication in terms of later locating sampled and unsampled areas. It often is desirable to

estimate the nature and frequency of data parameters based on existing information or analogy to other similar cases. These estimates may then be tested in field studies.

An important consideration in choosing methods to be used in the field studies should be assuring full, clear, and accurate descriptions of all field operations and observations, including excavation and recording techniques and stratigraphic or inter-site relationships.

To the extent feasible, chosen methodologies and techniques should take into account the possibility that future researchers will need to use the recovered data to address problems not recognized at the time the data were recovered. The field operation may recover data that may not be fully analyzed; this data, as well as the data analyzed, should be recorded and preserved in a way to facilitate future research.

A variety of methodologies may be used. Choices must be explained, including a measure of cost-effectiveness relative to other potential choices. Actual results can then be measured against expectations, and the information applied later in similar cases.

Destructive methods should not be applied to portions or elements of the property if nondestructive methods are practical. If portions or elements of the property being documented are to be preserved in place, the archeological investigation should employ methods that will leave the property as undisturbed as possible. However, in cases where the property will be destroyed by, for example, construction following the investigation, it may be most practical to gather the needed data in the most direct manner, even though that may involve use of destructive techniques.

Logistics in the field, including the deployment of personnel and materials and the execution of sampling strategies, should consider site significant, anticipated location of most important data, cost effectiveness, potential time limitations and possible adverse environmental conditions.

The choice of methods for recording data gathered in the field should be based on the research design. Based on that statement, it is known in advance of field work what kinds of information are needed for analysis; record-keeping techniques should focus on these data. Field records should be maintained in a manner that permits independent interpretation in so far as possible.

Record-keeping should be standardized in format and level of detail.

Archeological documentation should be conducted under the supervision of qualified professionals in the disciplines appropriate to the data that are to be recovered. When the general public is directly involved in archeological documentation activities, provision should be made for training and supervision by qualified professionals. (See the Professional Qualifications Standards.)

**Analysis:** Archeological documentation is not completed with field work; analysis of the collected information is an integral part of the documentation activity, and should be planned for in the research design. Analytical techniques should be selected that are relevant to the objectives of the investigation. Forms of analysis that may be appropriate, depending on the type of data recovered and the objectives of the investigation, include but are not limited to: studying artifact types and distribution; radiometric and other means of age determination; studies of soil stratigraphy; studies of organic matter such as human remains, pollen, animal bones, shells and seeds; study of the composition of soils and study of the natural environment in which the property appears.

#### *Reporting Results*

**Report Contents:** Archeological documentation concludes with written report(s) including minimally the following topics:

1. Description of the study area;
2. Relevant historical documentation/background research;
3. The research design;
4. The field studies as actually implemented, including any deviation from the research design and the reason for the changes;
5. All field observations;
6. Analyses and results, illustrated as appropriate with tables, charts, and graphs;
7. Evaluation of the investigation in terms of the goals and objectives of the investigation, including discussion of how well the needs dictated by the planning process were served;
8. Recommendations for updating the relevant historic contexts and planning goals and priorities, and generation of new or revised information needs;
9. Reference to related on-going or proposed treatment activities, such as structural documentation, stabilization, etc., and

10. Information on the location of original data in the form of field notes, photographs, and other materials.

Some individual property information, such as specific locational data, may be highly sensitive to disclosure, because of the threat of vandalism. If the objectives of the documentation effort are such that a report containing confidential information such as specific site locations or information on religious practices is necessary, it may be appropriate to prepare a separate report for public distribution. The additional report should summarize that information that is not under restricted access in a format most useful to the expected groups of potential users. Peer review of draft reports is recommended to ensure that state-of-the-art technical reports are produced.

**Availability:** Results must be made available to the full range of potential users. This can be accomplished through a variety of means including publication of results in monographs and professional journals and distribution of the report to libraries or technical clearinghouses such as the National Technical Information Service in Springfield, Virginia.

#### *Curation*

Archeological specimens and records are part of the documentary record of an archeological site. They must be curated for future use in research, interpretation, preservation, and resource management activities. Curation of important archeological specimens and records should be provided for in the development of any archeological program or project.

Archeological specimens and records that should be curated are those that embody the information important to history and prehistory. They include artifacts and their associated documents, photographs, maps, and field notes; materials of an environmental nature such as bones, shells, soil and sediment samples, wood, seeds, pollen, and their associated records; and the products and associated records of laboratory procedures such as thin sections, and sediment fractions that result from the analysis of archeological data.

Satisfactory curation occurs when:

1. Curation facilities have adequate space, facilities, and professional personnel;
2. Archeological specimens are maintained so that their information values are not lost through deterioration, and records are maintained to a professional archival standard;
3. Curated collections are accessible to qualified researchers within a

reasonable time of having been requested; and

4. Collections are available for interpretive purposes, subject to reasonable security precautions.

#### *Recommended Sources of Technical Information*

*Archeomagnetism: A Handbook for the Archeologist.* Jeffrey L. Eighmy, U.S. Department of the Interior, Washington, D.C., 1980.

*The Curation and Management of Archeological Collections: A Pilot Study.* Cultural Resource Management Series, U.S. Department of the Interior, September 1980.

*Human Bones and Archeology.* Douglas H. Ubelaker, Interagency Archeological Services, Heritage Conservation and Recreation Service, U.S. Department of the Interior, Washington, D.C., 1980. Available from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

*Manual for Museums.* Ralph H. Lewis, National Park Service, U.S. Department of the Interior, 1978.

*Treatment of Archeological Properties: A Handbook.* Advisory Council on Historic Preservation, Washington D.C., 1980.

#### *Secretary of the Interior's Standards for Historic Preservation Projects*

##### *General Standards for Historic Preservation Projects*

The following general standards apply to all treatments undertaken on historic properties listed in the National Register.

1. Every reasonable effort shall be made to provide a compatible use for a property that requires minimal alteration of the building, structure, or site and its environment, or to use a property for its originally intended purpose.
2. The distinguishing original qualities or character of a building, structure, or site and its environment shall not be destroyed. The removal or alteration of any historic material or distinctive architectural features should be avoided when possible.
3. All buildings, structures, and sites shall be recognized as products of their own time. Alterations which have no historical basis and which seek to create an earlier appearance shall be discouraged.
4. Changes which have taken place in the course of time are evidence of the history and development of a building, structure, or site and its environment. These changes may have acquired significance in their own right, and this significance shall be recognized and respected.
5. Distinctive architectural features or examples of skilled craftsmanship which characterize a building, structure, or site shall be treated with sensitivity.

6. Deteriorated architectural features shall be repaired rather than replaced, wherever possible. In the event replacement is necessary, the new material should match the material being replaced in composition, design, color, texture, and other visual qualities. Repair or replacement of missing architectural features should be based on accurate duplications of features, substantiated by historic, physical, or pictorial evidence rather than on conjectural designs or the availability of different architectural elements from other buildings or structures.

7. The surface cleaning of structures shall be undertaken with the gentlest means possible. Sandblasting and other cleaning methods that will damage the historic building materials shall not be undertaken.

8. Every reasonable effort shall be made to protect and preserve archeological resources affected by, or adjacent to, any acquisition, stabilization, preservation, rehabilitation, restoration, or reconstruction project.

##### *Specific Standards for Historic Preservation Projects*

The following specific standards for each treatment are to be used in conjunction with the eight general standards and, in each case, begin with number 9. For example, in evaluating acquisition projects, include the eight general standards plus the four specific standards listed under standards for Acquisition. The specific standards differ from those published for use in Historic Preservation Fund grant-in-aid projects (36 CFR Part 68) in that they discuss more fully the treatment of archeological properties.

##### *Standards for Acquisition*

9. Careful consideration shall be given to the type and extent of property rights which are required to assure the preservation of the historic resource. The preservation objectives shall determine the exact property rights to be acquired.

10. Properties shall be acquired in fee simple when absolute ownership is required to insure their preservation.

11. The purchase of less-than-fee-simple interests, such as open space or facade easements, shall be undertaken when a limited interest achieves the preservation objective.

12. Every reasonable effort shall be made to acquire sufficient property w. the historic resource to protect its historical, archeological, architectural or cultural significance.

### Standard for Protection

Before applying protective measures which are generally of a temporary nature and imply future historic preservation work, an analysis of the actual or anticipated threats to the property shall be made.

10. Protection shall safeguard the physical condition or environment of a property or archeological site from further deterioration or damage caused by weather or other natural, animal, or human intrusions.

11. If any historic material or architectural features are removed, they shall be properly recorded and, if possible, stored for future study or reuse.

### Standards for Stabilization

9. Stabilization shall reestablish the structural stability of a property through the reinforcement of loadbearing members or by arresting deterioration leading to structural failure. Stabilization shall also reestablish weather resistant conditions for a property.

10. Stabilization shall be accomplished in such a manner that it detracts as little as possible from the property's appearance and significance. When reinforcement is required to reestablish structural stability, such work shall be concealed wherever possible so as not to intrude upon or detract from the aesthetic and historical or archeological quality of the property, except where concealment would result in the alteration or destruction of historically or archeologically significant material or spaces. Accurate documentation of stabilization procedures shall be kept and made available for future needs.

11. Stabilization work that will result in ground disturbance shall be preceded by sufficient archeological investigation to determine whether significant subsurface features or artifacts will be affected. Recovery, curation and documentation of archeological features and specimens shall be undertaken in accordance with appropriate professional methods and techniques.

### Standards for Preservation

9. Preservation shall maintain the existing form, integrity, and materials of a building, structure, or site. Archeological sites shall be preserved undisturbed whenever feasible and practical. Substantial reconstruction or restoration of lost features generally are not included in a preservation undertaking.

10. Preservation shall include techniques of arresting or retarding the

deterioration of a property through a program of ongoing maintenance.

11. Use of destructive techniques, such as archeological excavation, shall be limited to providing sufficient information for research, interpretation and management needs.

### Standards for Rehabilitation

9. Contemporary design for alterations and additions to existing properties shall not be discouraged when such alterations and additions do not destroy significant historic, architectural, or cultural material and such design is compatible with the size, scale, color, material, and character of the property, neighborhood, or environment.

10. Wherever possible, new additions or alterations to structures shall be done in such a manner that if such additions or alterations were to be removed in the future, the essential form and integrity of the structure would be unimpaired.

### Standards for Restoration

9. Every reasonable effort shall be made to use a property for its originally intended purpose or to provide a compatible use that will require minimum alteration to the property and its environment.

10. Reinforcement required for structural stability or the installation of protective or code required mechanical systems shall be concealed wherever possible so as not to intrude or detract from the property's aesthetic and historical qualities, except where concealment would result in the alteration or destruction of historically significant materials or spaces.

11. Restoration work such as the demolition of non-contributing additions that will result in ground or structural disturbance shall be preceded by sufficient archeological investigation to determine whether significant subsurface or structural features or artifacts will be affected. Recovery, curation and documentation of archeological features and specimens shall be undertaken in accordance with appropriate professional methods and techniques.

### Standards for Reconstruction

9. Reconstruction of a part or all of a property shall be undertaken only when such work is essential to reproduce a significant missing feature in a historic district or scene, and when a contemporary design solution is not acceptable. Reconstruction of archeological sites generally is not appropriate.

10. Reconstruction of all or a part of a historic property shall be appropriate when the reconstruction is essential for

understanding and interpreting the value of a historic district, or when no other building, structure, object, or landscape feature with the same associative value has survived and sufficient historical or archeological documentation exists to insure an accurate reproduction of the original.

11. The reproduction of missing elements accomplished with new materials shall duplicate the composition, design, color, texture, and other visual qualities of the missing element. Reconstruction of missing architectural or archeological features shall be based upon accurate duplication of original features substantiated by physical or documentary evidence rather than upon conjectural designs or the availability of different architectural features from other buildings.

12. Reconstruction of a building or structure on an original site shall be preceded by a thorough archeological investigation to locate and identify all subsurface features and artifacts. Recovery, curation and documentation of archeological features and specimens shall be undertaken in accordance with professional methods and techniques.

13. Reconstruction shall include measures to preserve any remaining original fabric, including foundations, subsurface, and ancillary elements. The reconstruction of missing elements and features shall be done in such a manner that the essential form and integrity of the original surviving features are unimpaired.

### Secretary of the Interior Guidelines for Historic Preservation Projects

The guidelines for the Secretary of the Interior's Standards for Historic Preservation Projects, not included here because of their length, may be obtained separately from the National Park Service.

### Professional Qualifications Standards

The following requirements are those used by the National Park Service, and have been previously published in the Code of Federal Regulations, 36 CFR Part 61. The qualifications define minimum education and experience required to perform identification, evaluation, registration, and treatment activities. In some cases, additional areas or levels of expertise may be needed, depending on the complexity of the task and the nature of the historic properties involved. In the following definitions, a year of full-time professional experience need not consist of a continuous year of fulltime work but



may be made up of discontinuous periods of full-time or part-time work adding up to the equivalent of a year of full-time experience.

#### History

The minimum professional qualifications in history are a graduate degree in history or closely related field; or a bachelor's degree in history or closely related field plus one of the following:

1. At least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historic organization or agency, museum, or other professional institution; or
2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of history.

#### Archeology

The minimum professional qualifications in archeology are a graduate degree in archeology, anthropology, or closely related field plus:

1. At least one year of full-time professional experience or equivalent specialized training in archeological research, administration or management;
2. At least four months of supervised field and analytic experience in general North American archeology; and
3. Demonstrated ability to carry research to completion.

In addition to these minimum qualifications, a professional in prehistoric archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the prehistoric period. A professional in historic archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the historic period.

#### Architectural History

The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation, or closely related field, with coursework in American architectural history; or a bachelor's degree in architectural history, art history, historic preservation or closely related field plus one of the following:

1. At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical

organization or agency, museum, or other professional institution; or

2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of American architectural history.

#### Architecture

The minimum professional qualifications in architecture are a professional degree in architecture plus at least two years of full-time experience in architecture; or a State license to practice architecture.

#### Historic Architecture

The minimum professional qualifications historic in architecture are a professional degree in architecture or a State license to practice architecture, plus one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or closely related field; or
2. At least one year of full-time professional experience on historic preservation projects.

Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

#### Preservation Terminology

**Acquisition**—the act or process of acquiring fee title or interest other than fee title of real property (including acquisition of development rights or remainder interest).

**Comprehensive Historic Preservation Planning**—the organization into a logical sequence of preservation information pertaining to identification, evaluation, registration and treatment of historic properties, and setting priorities for accomplishing preservation activities.

**Historic Context**—a unit created for planning purposes that groups information about historic properties based on a shared theme, specific time period and geographical area.

**Historic Property**—a district, site, building, structure or object significant in American history, architecture, engineering, archeology or culture at the national, State, or local level.

**Integrity**—the authenticity of a property's historic identity, evidenced by the survival of physical characteristics that existed during the property's historic or prehistoric period.

**Intensive Survey**—a systematic, detailed examination of an area designed to gather information about historic properties sufficient to evaluate them against predetermined criteria of

significance within specific historic contexts.

**Inventory**—a list of historic properties determined to meet specified criteria of significance.

**National Register Criteria**—the established criteria for evaluating the eligibility of properties for inclusion in the National Register of Historic Places.

**Preservation (treatment)**—the act or process of applying measures to sustain the existing form, integrity and material of a building or structure, and the existing form and vegetative cover of a site. It may include initial stabilization work, where necessary, as well as ongoing maintenance of the historic building materials.

**Property Type**—a grouping of individual properties based on a set of shared physical or associative characteristics.

**Protection (treatment)**—the act or process of applying measures designed to affect the physical condition of a property by defending or guarding it from deterioration, loss or attack, or to cover or shield the property from danger or injury. In the case of buildings and structures, such treatment is generally of a temporary nature and anticipates future historic preservation treatment. In the case of archeological sites, the protective measure may be temporary permanent.

**Reconnaissance Survey**—an examination of all or part of an area accomplished in sufficient detail to make generalizations about the types and distributions of historic properties that may be present.

**Reconstruction (treatment)**—the act or process of reproducing by new construction the exact form and detail of a vanished building, structure, or object, or any part thereof, as it appeared at a specific period of time.

**Rehabilitation (treatment)**—the act or process of returning a property to a state of utility through repair or alteration which makes possible an efficient contemporary use while preserving those portions or features of the property which are significant to its historical, architectural and cultural values.

**Research design**—a statement of proposed identification, documentation, investigation, or other treatment of a historic property that identifies the project's goals, methods and techniques, expected results, and the relationship of the expected results to other proposed activities or treatments.

**Restoration**—the act or process of accurately recovering the form and details of a property and its setting as it appeared at a particular period of time

...s of the removal of later work  
... the replacement of missing earlier  
work.

*Sample Survey*—survey of a  
representative sample of lands within a  
given area in order to generate or test  
predictions about the types and  
distributions of historic properties in the  
entire area.

*Stabilization (treatment)*—the act or  
process of applying measures designed  
to reestablish a weather resistant  
enclosure and the structural stability of  
an unsafe or deteriorated property while  
maintaining the essential form as it  
exists at present.

*Statement of objectives*—see  
Research design.

Dated: September 28, 1983.

Russell E. Dickenson,

Director, National Park Service.

[FR Doc. 83-25807 Filed 9-29-83; 8:45 am]

BILLING CODE 4310-70-02

APPENDIX I  
REFERENCE MATERIAL

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TOWN/CITY RECORDS, CITY OF ROCKVILLE CLERK'S OFFICE

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(Records prior to 1860 are not available.)

Records of the Town/City of Rockville 1860-1873

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Election Districts

Tax Assessment Records, Town of Rockville

Taxes and Tax Accounts 1861 - 1870 (move to 1825 - 1873)

Town of Rockville Minutes of the Commission/Mayor and Council

Voting Records, Town of Rockville

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Records of the Town/City of Rockville 1873-1931

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Assessment of Corporation of Rockville , 1879 and 1880

Corporation of Town of Rockville, Record Book No. 1; July 3, 1876 to April 18, 1888.

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Town/City of Rockville, Delinquent Taxes and Sales Ledger , 1898 - 1954

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Voting Records, Town/ City of Rockville, 1931 - 1986.

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MAPS AND FILES;

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Location code:

Montgomery County Library, Rockville Municipal Collection - (RMC)

U.S. Library of Congress -( LC)

City of Rockville Planning Department -( RPD)

City of Rockville Public Works - (RPW)

1750-1815:

Dennis Griffith , 1794 Map of Maryland showing Rockville as "Montgomery Court House." Library of Congress, Maryland Hall of Records. Copies, (RPD), (RMC).

Montgomery County Historical Society. "Land Grants Prior to 1800". file.(MCHS)

Montgomery County Historical Society. "Rockville Land Records" file from the collection of M.S.Poole. (MCHS)

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inset showing map of Rockville. (MCHS) (RMC)

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1873-1931:

City of Rockville Sewer Map. 1914. (RPW)

Deets & Maddox C.E. Key Map of Real Estate; Atlas of Part of Montgomery County. 1916. (MCHS)

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G.M.Hopkins Co. Baltimore. Map of Montgomery County, Md. 1877, 1879; 1873, 1930. (LC, RPD)

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1931 - 1986:

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MARYLAND HISTORICAL TRUST INVENTORIED SITES- ROCKVILLE

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MARYLAND HISTORICAL TRUST INVENTORY FORMS, Prepared by Sugarloaf Trails, Peerless Rockville Historic Preservation, Inc., and City of Rockville, Md. are available at:

Montgomery County Public Library, Rockville Municipal Collection (RMC)  
Montgomery County Historical Society (MCHS)  
City of Rockville Planning Department (RPD).

Forms are listed by MHT form Number, Title, Street Address.

1750-1825

- M:26/10/1 "Beall-Dawson House, 103 West Montgomery Avenue."
- M:26/11/11 "Christ Episcopal Church, 109 South Washington St."
- M:26/10/14 "Robb/Higgins/Ward House, 101 North Adams Street."
- M:26/10/16 "Jenkins/Miller/ McFarland House, 5 North Adams Street."

- M:26/10/22 "Rockville Christian Church/Bell Tower Building, 101 West Jefferson Street."
- M:26/10/25 "Old Baptist Cemetery, West Jefferson Street."
- M:26/11/6 "B.R. Stone and Jefferson Street Stone, Vinson Street, West Jefferson Street."
- M:26/10/2 "Rockville Academy, 103 South Adams Street."

1825-1873

- M:26/10/13 "Jones/Peter/Muth House, 106 North Adams Street."
- M:26/10/3 "Prettyman House", 104 West Jefferson Street."
- M:26/8 "Rose Hill, Great Falls Road."
- M:26/20 "Lyddane/Bradley House, 1201 Rockville Pike."
- M:26/10/68 "Magruder Sisters House, 236 Great Falls Road."
- M:26/16/1 "Ross/ Powell House, 22 Martin's Lane."
- M:26/10/39 "Jerusalem Methodist Episcopal Church, 21 Wood Lane."
- M:26/10/40 "Jerusalem Methodist Episcopal Church Parsonage , 17 Wood Lane."
- M:26/10/24 "Methodist Parsonage, 111 West Jefferson Street."

Sites established 1873-1931

Agriculture

- M:26/19 "Dawson Farm, (including Blacksmith Shop) 1401 Aintree Drive."
- M:26/20 "Lyddane/Bradley House, 1201 Rockville Pike."
- M:26/19 "Dawson Farm, (1874 and 1912 Houses), 817 Rockville Pike."

Architecture, Landscape Architecture, Community Planning

Darnestown Road Houses

- M:26/10/6 "Speare House, 208 West Montgomery Avenue."

- M:26/10/43 "The Judge's Chambers, 212 West Montgomery Avenue."  
 M:26/10/56 "Reiche Cottage, 720 West Montgomery Avenue."  
 M:26/10/5 "Daniel Owen's House, 218 West Montgomery." (1890)

In Town Lots

- M:26/10/69 "Cottage at Quality Hill, 10 South Adams." (1870s)  
 M:26/10/21 "Jerkinhead Cottage, 12 South Adams." (1889)  
 M:26/10/20 "Bessie Lyddane House, 14 South Adams". (1889-90)  
 M:26/10/10 "Grahame House, 107 North Adams."  
 M:26/10/12 "House at Wood Lane, 108 North Adams". (1914-28)  
 M:26/10/11 "Darby House, 109 North Adams."  
 M:26/10/17 "Judge Anderson's House, 39 West Montgomery". (1881)  
 M:26/10/19 "Rebecca Veirs House, 100 West Montgomery." (1888)  
 M:26/10/8 "Edwin West House, 114 West Montgomery". (1889)

Brewer's Third Addition To Rockville

- M:26/12/4 "Brewer/Offutt/Winx, 8 Baltimore Road". (1878)

Margaret Beall's Subdivision

- M:26/10/26 "Stokes House, 115 West Montgomery". (1888-89)  
 M:26/10/27 "Lowry Villa, 117 West Montgomery". (1889)  
 M:26/10/41 "Wagner House, 201 West Montgomery". (1895)  
 M:26/10/29 "Wagman House, 203 West Montgomery". (1884-86)  
 M:26/10/30 "Morrow House, 227 West Montgomery". (1888)  
 M:26/10/46 "Miss Lucy Simpson's House, 229 West Montgomery". (1879)  
 M:26/10/60 "Dawson/Nicewarner House, 215 Harrison". (1889), moved (1930)  
 M:26/10/47 "Welsh's Folly, 301 West Montgomery". (1913)  
 M:26/10/48 "Rosenberger House, 310 West Montgomery". (1887)  
 M:26/10/49 "314 West Montgomery". (1887)

South Washington Street Historic District (part of National  
Register Courthouse Square Historic District)

M:26/11/3 "Porter Ward House, 100 South Washington (1893)."  
M:26/11/5 "Lamar House, 101 South Washington (1884)."  
M:26/11/9 "Anderson House, 104 South Washington (1884)."  
M:26/11/8 "Greene House, 105 South Washington (1887)."  
M:26/11/7 "Abert House, 107 South Washington (1905)."  
M:26/11/4 "Dr. Linthicum House, 110 South Washington (1903)."

Higginsville

M:26/10/66 "John Higgins House, 300 Great Falls Road (1889)."  
M:26/10/7 "Frank Higgins House, 304 Great Falls Road (1886-88)."  
M:26/10/67 "Stone/Goodson House, 301 Great Falls Road (1899)."

The Park

M:26/12/5 "Spates Bungalow, 115 Park Avenue (1923)."

Rebecca T. Veirs Addition

M:26/10/61 "Dr. Willson Cottage, 10 Thomas (1890)."  
M:26/10/63 "Garrett Cottage, 19 Wall (1891)."  
M:26/10/64 "Green, Headley, Lai House, 21 Wall Stone".  
M:26/10/33 "Kilgour House, 25 Wall (1892)."  
M:26/10/34 "Yearley House, 26 Wall (1892)."  
M:26/10/49 "314 West Montgomery Avenue".  
M:26/10/50 "Allen/Prettyman House, 318 West Montgomery Avenue."  
M:26/10/51 "The Duncan House, 400 West Montgomery Avenue".  
M:26/10/62 "Gude Cottage, 16 Wall". (1891)

Sarah T. McCahill's Addition

M:26/10/31 "Talbott/Abbe House, 100 Forest Avenue". (1891)  
M:26/10/57 "Edwin Smith House, 108 Forest Avenue". (1890)

M:26/10/58 "Presbyterian Manse, 112 Forest Avenue". (1890-91)

Rockville Heights

M:26/22/3 "Chambers House, 140 South Adams". (1906)

M:26/22/2 "Frank Tyler House, 149 South Adams". (1931)

M:26/22/1 "Hunter/Hyatt House, 18 Maryland Avenue". (1904)

Reading's First Addition

M:26/13/1 "Warfield House, 207 Baltimore Road". (1890s)

Rockville Park

M:26/13/2 "Riggs House, 401 Baltimore Road". (1905-06)

Lincoln Park and Cemetery

M:26/15/2 "Cooke House, 302 Lincoln Avenue". (1895)

Haiti and Cemetery

M:26/16/2 "Old Carroll House, 206 Martin's Lane". (1887)

West End Park

M:26/10/52 "Jones/Kelly House, 401 West Montgomery". (1890)

M:26/10/54 "Veirs/England Villa, 409 West Montgomery". (1890)

M:26/7/3 "Braunberg House, 419 West Montgomery". (1889)

M:26/7/2 "Greene House, 11 Laird Street". (1891)

M:26/7/1 "Sante-Allnutt House, 541 Beall Avenue". (1890)

M:26/7/4 "Fisher/Winner House, 605 Anderson Avenue". (1892)

M:26/10/53 "McDonald/Gilchrist House, 405 West Montgomery". (1909)

M:26/10/55 "Conklin House, 411 West Montgomery". (1924)

Economics

M:26/12/3 "Wire Hardware, (and frame sheds), 20-22 Baltimore Road".

M:26/10/1 "Dr. E. E. Stonestreet's Office", relocated at the Beall-Dawson House, 103 West Montgomery Avenue.

Government/Law

M:26/11/1 "Montgomery County Courthouse, 1891., Courthouse Square."

M:26/11/1 "Montgomery County Courthouse, 1931., Courthouse Square."

Religion

M:26/11/11 "Christ Episcopal Church Complex, 109 South Washington."  
Sanctuary (1884-87)  
Parish Hall (1926)

M:26/10/45 "The Old Episcopal Rectory, 223 West Montgomery." (1874-75)

M:26/10/22 "Former Rockville Christian Church, 101 West Jefferson  
Street". (1892).

M:26/10/25 "Old Baptist Cemetery, (Jefferson and Van Buren)".

M:26/10/15 "Baptist Parsonage, 9 North Adams". (1886)

Social/Cultural

M:26/10/36 "Montgomery Country Club, 16 Williams Street". (1915)

Government/Law

MHT M:26/14. "Pump House; 401 South Horner's Lane:

Transportation

M:26/12. "Rockville Station, Baltimore and Ohio Railroad".

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